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ABSTRACT

This interim report of the "National Assessment of Chapter 1 Independent Review Panel" presents preliminary findings from studies completed as part of a national assessment of the Chapter 1 program. The first of the report's seven sections discusses the intent of the program, while the second examines its educational and economic contexts. The remaining sections report study findings. Section 3 considers standards for identifying schools that need improvement. The uses and limitations of current practices of student assessment and alternative views on student assessment are examined in section 4. Section 5 presents data relating to schools' use of schoolwide projects, and the scope, effectiveness, and funding of such projects. Conventional and alternative practices that impact students' development of higher order thinking skills are examined in section 6. The final section discusses child poverty and methods of targeting the neediest students and schools. This section also presents data on Chapter 1 funding levels and participation rates, the racial and ethnic composition of the student population served by Chapter 1 programs, and the geographic distribution of children in poverty. A reference list of more than 90 items is provided. Appendixes include a list of studies that are part of the national assessment, a copy of the federal statute requiring a national assessment of Chapter 1, and a national assessment study plan. (BC)

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The Interim Report

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NATIONAL ASSESSMENT OF THE CHAPTER 1 PROGRAM: THE INTERIM REPORT

Interim Report from the National Assessment of Chapter 1
U.S. Department of Education
June 1992

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Executive Summary

The Chapter 1 program provides financial assistance to school districts with high concentrations of low-income children to enable these districts to expand and improve instructional programs to meet the needs of educationally disadvantaged children. Since the inception of the program as Title I of the Elementary and Secondary Education Act of 1965, Congress has appropriated over $70 billion in its support. In fiscal year 1992, Congress appropriated $6.1 billion in support that reaches more than 5 million children—one out of every nine children in the United States.

During the mid-1980s, Congress began to focus on ways to improve Chapter 1 program effectiveness. Previous assessments of the program had found that it did improve the basic skills of participating children but that it did not teach higher-order skills and that instruction in the Chapter 1 classroom was not being integrated with the regular school program. Even the gains made in basic skills were not sustained over time. In the 1988 Hawkins-Stafford Elementary and Secondary School Improvement Amendments (P.L. 100–297), Congress enacted provisions designed to improve the targeting of resources, to strengthen accountability mechanisms, and to provide incentives that encouraged innovation; Congress also required the teaching of advanced skills in the Chapter 1 program. For the first time, districts were required to identify schools in which the Chapter 1 program needed improvement and to formulate plans to improve those programs.

Background

This interim report provides preliminary information mandated by Congress in the "1992 National Assessment of Chapter 1 Act" (P.L. 101–305). In presenting preliminary findings from key Department of Education studies completed as part of the National Assessment of the Chapter 1 program, the report explores some of the issues surrounding the effectiveness of Chapter 1—particularly those related to the 1988 Hawkins-Stafford Amendments. In doing so, the report also begins to raise issues that will be discussed in the Assessment's final report to Congress, which will incorporate findings from all of the Assessment's evaluation studies. Many of the Assessment's studies were prompted by the congressionally mandated National Assessment of Chapter 1's Independent Review Panel and by a variety of other experts who presented at the panel's meetings. (Appendix A contains a complete list of studies that comprise the National Assessment of Chapter 1.)

Over the past 27 years, the Chapter 1 program has played an important role in initiating instructional reform, increasing accountability for a generation of students, and providing a basis for gauging the federal role in education. Each reauthorization of Chapter 1—including the Hawkins-Stafford Amendments—has responded to changing concerns in both education and public policy. The inclusion of requirements for both academic standards and accountability in Hawkins-Stafford was prescient of the current education reform movement's call for explicit educational goals and national standards. Since the last reauthorization, national, state, and local efforts have expanded the bounds of what is achievable in educational improvement. The Chapter 1 program must be part of this reform effort.

While the purposes behind Chapter 1 are fundamental to enabling educationally disadvantaged children to succeed, the program's policies and strategies need to be reassessed in terms

of how well Chapter 1 is working, and how it can be better implemented within the context of national, state, and local reforms. **Strategies that were deemed appropriate for the needs of children in 1988 may not fit today's needs and may be even less appropriate for the schools of tomorrow.**

Context for Reform

The Chapter 1 program was established to address economic inequality by improving educational opportunities for children in high-poverty areas. Over time, the link between a good education and a decent living has become stronger, and the kinds of instruction children need to succeed—those that emphasize higher-order thinking skills—have become better defined. Unfortunately, for many American children, the skills they need to succeed are not being taught or learned.

- It is becoming harder and harder for persons with limited education to get and keep high-paying jobs. For more than 20 years, the unemployment rate for adults without a high school diploma has been almost double the rate for those with a high school diploma—and four to five times the rate for the college educated. Employment forecasts indicate an increased demand for workers who can deal with the more complex tasks and flexible job requirements expected in the future.

- While the achievement gap has narrowed between disadvantaged students and their peers, improvements have occurred primarily in basic skills. Progress has been slow—at present rates it would take 60 years for the bottom group of students to catch up to the current

level of average performance. Even this forecast is optimistic, judging by the fact that at-risk students so far have shown little overall academic progress in advanced skills.

- The achievement of low-performers in the United States lags far behind the achievement levels in other countries, and the inequality in learning within our country appears wider. Assessment scores show that U.S. students in the bottom 10th in math performance achieve substantially below the levels achieved by similar students in other countries tested. Moreover, the United States has larger differences in performance than most other countries between students in the bottom 10th and students at the top 10th.

The 1988 Hawkins-Stafford Amendments sought to improve the educational opportunities of educationally deprived children by helping them succeed in their regular school program, attain grade-level proficiency, and improve achievement in basic and more advanced skills. The question for this interim report is, Did these provisions advance these goals? This report attempts to explore some of the issues surrounding that question. The final report will deal with the more fundamental question of the extent to which the current structure of Chapter 1 addresses these purposes.

Findings

Among the major provisions in the 1988 Hawkins-Stafford Amendments were efforts to instill standards and accountability in the Chapter 1 program through school and student program

improvement requirements, to offer more flexibility in the use of Chapter 1 funds through schoolwide projects, and to promote the mastery of advanced skills among Chapter 1 participants. Previously, Chapter 1 projects were required to assess students' learning, but there were no consequences for failing projects. As long as programs spent funds for intended purposes and followed other procedural requirements, they were in compliance.

The preliminary findings related to the new provisions are summarized in the paragraphs that follow.

Program Improvement

Under the law's program improvement and accountability provisions, a school district must annually assess the effectiveness of the Chapter 1 program in improving student performance in each Chapter 1 school. The local district must also assess the progress of individual Chapter 1 students. Improvement is measured by gains in basic and more advanced skills on norm-referenced tests and by progress toward meeting the desired outcomes stated in the local education agency application. If a school shows no improvement or a decline in aggregate achievement or does not make substantial progress toward meeting its desired outcomes, it is identified as needing improvement. The school district, in cooperation with the school, must develop and implement a plan to improve the Chapter 1 project in that school. If, after one full school year of implementing the plan, the school does not show improvement, the school district and the state education agency must jointly develop a plan for program improvement in that school and must continue reviewing and revising that plan until Chapter 1 children in the school sustain their improved performance for more than a year.

The enactment of the 1988 program improvement provisions was intended to send a bold, new message that Chapter 1 projects had

to be held accountable for improved performance of Chapter 1 students. However, the accountability provisions have not yet resulted in the setting of consistently high standards and expectations for Chapter 1 students and programs.

- Where program improvement efforts appear to have taken hold, as in Kentucky and South Carolina, they are often linked to larger state and local efforts.

- About half of the states continue to set their aggregate achievement standards at the federal minimum level. But more have begun to require the use of desired outcome measures other than norm-referenced tests, and a majority of districts are requiring such measures.

- As would be expected, in high-poverty districts (in which at least 22 percent of the population is poor) a much higher proportion of Chapter 1 schools are identified as in need of improvement than is the case for low-poverty districts (in which no more than 7 percent of the population is poor). In addition, high-poverty schools are more likely than low-poverty schools to continue to be identified as in need of improvement over two years.

- Chapter 1 program improvement is a "non-event" in many of the schools identified as in need of improvement. The improvement plans and activities implemented to date are modest at best. The lack of involvement of principals in planning and implementing the plans, and the lack of coordination with broader-based improvement efforts, may account for this situation.

- State education agencies report that half of the schools identified as needing improvement "test out" of the improvement process—before implementing

improvement plans—by scoring at sufficiently high levels during the year following their identification as schools in need of improvement.

- Technical assistance from a variety of sources is an important resource for schools identified as needing improvement; however, traditional Chapter 1-supported technical assistance efforts cannot meet the needs identified.

Assessment and Testing

As in the past, districts use student testing to serve multiple purposes in Chapter 1. Overwhelmingly, they use standardized, norm-referenced tests to determine what students the Chapter 1 program will serve and what educational needs it will address, and test scores commonly affect the funding levels for participating schools. In addition, school districts must use these tests to reveal whether the program is working in particular schools and for particular students (under the program improvement requirements) and must contribute data to the national assessment of program effects by aggregating test scores via the Title I Evaluation and Reporting System (TIERS) that specifies assessing achievement with nationally normed tests in order to obtain student performance data that are in some sense nationally comparable.

Other provisions pertinent to testing and teaching include the requirement that school districts must assess Chapter 1 participants' progress in the regular instructional program. They must also assess student progress in acquiring both basic and more advanced skills. Finally, evaluations of student achievement must take place on an annual cycle, with fall-to-fall or spring-to-spring testing as opposed to fall-to-spring testing.

Problems have emerged, however, in using norm-referenced tests for multiple purposes in the Chapter 1 program.

- The attention given to assessment in the Hawkins-Stafford Amendments has resulted in a growing criticism of the use of commercial norm-referenced testing for high-stakes purposes. This criticism coincides with a movement toward student assessment that emphasizes advanced skills, links assessment to curriculum standards, and relates testing with the course content.

- Because commercial achievement tests are designed to be independent of particular curricula or instructional practices, the content of the tests is unlikely to match the academic goals of particular teachers, schools, districts, or states. Thus, these tests provide little specific feedback on student performance that can shape instructional decisions. Students' learning may be inhibited by tests that narrow the focus of curriculum and instruction.

- The test-based system of identifying schools for program improvement has limited credibility among states, districts, and schools. The year-to-year instability of norm-referenced tests illustrates their general weakness: as mentioned earlier, half of the schools identified for program improvement "test out" after one year, before implementing their improvement plans.

- Although schools qualify for Chapter 1 services on the basis of their poverty level, they receive resources based on the "number and needs of children to be served," that is, schools with more low-scoring children tend to receive more services. This seemingly logical provision has the perverse effect of creating a disincentive for schools to raise performance among their lowest-scoring

students: if schools improve the performance of students, they lose Chapter 1 funds.

- Few districts exercise any substantial control over the quality of the data they report to fulfill national reporting requirements. States, like districts, make little use of the Title I Evaluation and Reporting System data, and nationally, TIERS falls well short of providing test data for all participants.

- The growing national, state, and local interest in, and work under way on, content standards and assessments could provide a further basis for reconsidering Chapter 1 assessment. Indeed, Chapter 1 should be tied to these efforts. The Secretary of Education has established a 15-member advisory committee on testing in Chapter 1 to explore these issues. The committee will complete a final report in the fall, 1992.

Schoolwide Projects

If at least 75 percent of the children in a school are from low-income families, a school district may use Chapter 1 funds to operate a schoolwide project in that school to improve the overall instructional program in the school. Funds do not have to be spent exclusively for services for educationally disadvantaged children, and services do not have to be supplemental to the regular education program. The local district must measure the success of its project, however, by how well the educationally disadvantaged children perform.

Schoolwide projects have been allowed under Chapter 1 since 1978, but the elimination of a local matching requirement under Hawkins-Stafford has promoted their use in more high-poverty schools. As the fastest-growing category of Chapter 1 services,

schoolwide projects enable schools to use Chapter 1 funds in a way that can benefit all students in the school.

- Although schools with schoolwide projects represent only 4 percent of all Chapter 1 schools, their number increased by 233 percent between the 1989–90 and 1991–92 school years.

- Despite this increase, only a quarter to a third of eligible schools (those with 75 percent or more students in poverty) have adopted the schoolwide project model.

- Some 45 percent of the principals in schools that are eligible for Chapter 1 schoolwide project status were unaware of the schoolwide project option.

The flexibility provided by schoolwide projects—enabling Chapter 1 funds to serve all students—was designed to promote fundamental instructional reform for concentrations of poor children in an entire school.

- Although some schools report that they have adopted new instructional strategies and improved student achievement as a result of their schoolwide project efforts, most principals and district personnel report that they have used the opportunity to make more immediate and incremental school management changes, such as reducing class size.

- About 84 percent of principals that have operated schoolwide projects for three years report that most evidence favors the schoolwide project. The evaluation evidence in support of schoolwide projects, based on norm-referenced test scores, is generally favorable but reflects the situation only for the limited number of schools that have operated schoolwide projects for three

years and have conducted an evaluation of project effects.

Higher-Order Thinking Skills

The House and Senate committee reports asserted the belief of Congress that "all students can master these necessary and appropriate skills" and its intention to write requirements so that "disadvantaged children served by Chapter 1 are not subjected to substantially different academic expectations than other students." As a result, language referring to "advanced skills that all children are expected to master" was included throughout the legislation.

The 1988 Hawkins-Stafford Amendments enlarged the focus of the Chapter 1 program from teaching mainly basic skills to include teaching and testing mastery of advanced skills. Nonetheless, Chapter 1 remains a program in which the teaching of basic skills is the norm and the teaching of higher-order thinking skills is the exception.

- As noted in the Study of Alternatives to Conventional Wisdom, most remedial and compensatory education programs were designed to provide low-achieving students with additional practice for mastery of basic content knowledge. The curricula taught were grounded in the belief that children learn discrete skills in a hierarchical manner. Indeed, classroom studies have documented that children considered at risk for academic failure receive less instruction in complex skills than do their more advantaged counterparts.

- Recent studies indicate that students who are exposed to academically challenging forms of instruction in math, reading, and writing are likely to perform better at the

end of the school year than students whose instruction concentrates on basic skills.

- Efforts to integrate more advanced skills into the instruction of disadvantaged students takes place both within instructional programs and throughout schools and districts.

- According to district Chapter 1 coordinators, Chapter 1 instruction accounts for only 24 to 30 minutes a day, five days a week. Because Chapter 1 represents only a small portion of a student's day, both Chapter 1 and regular teachers need to learn the most effective methods to instruct at-risk students and to promote higher-order thinking skills.

Targeting Chapter 1 Funds to Children in Need

The statute requires each school district to review annually the needs of educationally disadvantaged children in its eligible attendance areas. After assessing those needs, the local education agency identifies the general instructional areas and grade levels that its Chapter 1 project will serve. The district also establishes educationally related objective criteria for selecting students with the greatest needs in those subjects and grades it has identified.

Approaches to targeting Chapter 1 services to children in need are uniformly applied in directing funds to school districts and schools on the basis of the numbers of children in poverty, and targeting individual students within Chapter 1 schools for supplemental services on the basis of low academic performance. However, the dynamics of poverty and school funding often influence the receipt of Chapter 1 services by those most in need.

- The number of school-age children living in poverty is increasing, and there have been substantial regional shifts in the distribution of child poverty since 1980. Generally, childhood poverty is moving westward from the Northeast. Some states have experienced increases of up to 67 percent, while others have 34 percent fewer poor children than in 1980.

- Changes in Chapter 1 participation are only roughly associated with changes in funding levels. Although spending has increased considerably over the past few years, the number of children participating in Chapter 1 has increased modestly.

- Chapter 1 staffing levels have declined; this decline may indicate a decrease in the intensity of services provided to students. Chapter 1 staff reductions reflect the rapid growth in teacher salaries during the 1980s, which considerably outpaced the general inflation rate and available Chapter 1 dollars.

- Although Chapter 1 participating schools have disproportionately high numbers of poor children, a substantial number of schools at all poverty levels participate in the program. More than 90 percent of all school districts receive Chapter 1 funds, and 71 percent of elementary schools receive federal Chapter 1 monies. Indeed, almost half of the elementary schools in the nation with fewer than 10 percent poor children in their student body receive Chapter 1 funds.

- While most Chapter 1 participants score in the lower half of the distribution of standardized test scores, there are anomalies, at least at the national level, in which higher-performing students are served while lower-performers go unserved.

Our overarching observation, based on the preliminary evaluation evidence, suggests that **the Hawkins-Stafford reforms were in the right direction but were only a start.** In 1988, Congress legislated both fundamental and innovative reforms that moved the program toward standards and outcomes. However, in light of current national reforms in education, **the Hawkins-Stafford provisions for program improvement, schoolwide projects, and mastery of advanced skills did not go far enough.** At the same time that many states and local school districts were moving toward broad-based reforms, Chapter 1 program improvement was implemented within the parameters set by norm-referenced testing. Moreover, the program improvement provision did not carry the weight needed to move the state and local school personnel beyond where they were willing to go. The flexibility afforded by schoolwide projects typically has not been for wholesale reforms. Many principals were unaware of the schoolwide project option, and those who did implement such projects often chose to use the model to address immediate, incremental needs for smaller classes, rather than to reconfigure curriculum and instruction. Teaching beyond basic skills continues to be an unrealized aim in the Chapter 1 program.

Issues to Be Addressed in the Final Report

In addition to addressing questions outlined in the interim report, the final report of the National Assessment of Chapter 1 will examine two types of fundamental issues: (1) Issues that are integral to the performance of the general operation of the current program, including parental involvement, program targeting, technical assistance, staff development, and the participation of special populations (private school and

limited-English-proficient students, Even Start participants, and migrants); and (2) reforms that are related to Chapter 1 but are not now a part of the regular program.

Information that will be available from the study of Chapter 1 implementation at the school level and the Prospects Longitudinal Study will provide a rich description of how Chapter 1 typically operates in schools and classrooms. The Special Strategies supplement to the longitudinal study will be used to identify particularly promising practices in curriculum and instruction that can be supported by Chapter 1, and to identify the ways in which those practices can contribute to better student outcomes. The final report will also present findings from other studies, which will guide our policy recommendations.

Section One
Introduction

The question for the future...is how to pass a significant piece of legislation that takes into account all of the necessities that must be considered. How do you sustain it? How do you fund it? How do you keep it on target? And how do you make the inevitable adjustments over time, as either the target changes or the method of your approach to it turns out not to be entirely accurate?

—Douglass Cater
assistant to President Lyndon Johnson

This interim report seeks to lay out what we currently know about the effects of the 1988 Hawkins-Stafford Amendments against a backdrop of information on broad societal changes that influence U.S. education, the Chapter 1 program for educationally disadvantaged children, and the new provisions of the law. Throughout this report, the Chapter 1 program is assessed in terms of how it is responding to Congress's intent in 1988 and how the program is meeting the needs of disadvantaged students today and until the next reauthorization. As a preliminary report, it can provide partial answers and suggest directions that the final report will take.

The report begins by broadly outlining the intent of the Chapter 1 program and its history. The second section summarizes the

economic, demographic, and educational trends that have motivated the national concern about improving educational opportunity for disadvantaged students. Later sections in this report focus on some of the most important new provisions of the 1988 amendments in the areas of program improvement, assessment, schoolwide projects, and accountability for teaching higher-order thinking skills. These topics are surveyed from the perspective of how they have changed the Chapter 1 program at the state and local levels and how the state and local education agencies (SEAs and LEAs) have responded. Another section identifies trends in funding and the extent of targeting in the Chapter 1 program and assesses the extent to which services may have been affected thereby.

Many of the findings presented in this preliminary, interim report are drawn from broad representative surveys. Forthcoming case studies will supplement the survey information with greater details on effective and ineffective operations. Because this is only the interim report and the series of assessment studies is not yet complete, the discussion of several topics—including discussions of parental involvement, the Even Start program, and Chapter 1 services to migrant students and children attending private schools—will await complete information. In addition, a special panel has started its work to examine the Chapter 1 testing system; its report is scheduled for completion in the fall.

The final report, due to Congress at the end of 1992, will examine the effects of the Chapter 1 program at the school and classroom levels and suggest possible directions for the reauthorization of Chapter 1.

The Intent of the Chapter 1 Program

The purpose of Chapter 1 of Title I of the Elementary and Secondary Education Act of 1965 (ESEA) is to provide financial assistance to local education agencies to meet the special needs of educationally deprived children who live in areas with high concentrations of children from low-income families. The Chapter 1 program represents the federal government's largest investment in elementary and secondary education, accounting for 19 percent of the U.S. Department of Education's total budget. In 1992, Congress appropriated $6.1 billion for basic Chapter 1 services to states and school districts. These funds serve more than 5 million children—approximately one out of every nine school-age children in the United States.

The 1988 Augustus F. Hawkins–Robert T. Stafford Elementary and Secondary School Improvement Amendments (P.L. 100–297) sought to improve the educational opportunities of educationally deprived children by helping them succeed in their regular school program, attain grade-level proficiency, and improve achievement in basic and more advanced skills. The new priorities reaffirm the purpose of Chapter 1 as set forth in the foreword of the original statute (P.L. 89–10):

> ***The Congress hereby declares it to be the policy of the United States to provide financial assistance to local educational agencies serving areas with concentrations of children from low-income families to expand and improve their educational programs by various means (including preschool programs) which contribute particularly to meeting special educational needs of educationally deprived students.***

These renewed priorities in education are reflected in the current Chapter 1 program. States, local education agencies, and schools must now focus explicitly on the instructional outcomes of their educationally deprived students, especially those living in areas with high concentrations of poverty.

Evolution of the Title I/ Chapter 1 Law

The 1965 legislation of Title I of the ESEA placed limitations on federal control and gave school districts latitude in targeting funds. However, within four years of the law's enactment, Title I funds were found to have been diverted from their actual purposes, resulting in charges that the funds were not reaching eligible children in many instances, were not concentrated on the most needy, were used to purchase hardware at the expense of instructional programs, were not used to meet the most serious educational needs of children, and were not used in a way that encouraged parents and communities to become involved in carrying out Title I projects (Martin and McClure 1969).

As a result of these abuses, Congress increased federal controls and oversight over the Title I program in the 1970s, adding provisions for enforcement proceedings against selected states and localities. Moreover, Congress added legislative provisions to ensure that Chapter 1 funds were used to supplement, and not supplant, regular programs and that the funds were targeted on schools with high proportions of poor children.

By 1980, state and local school officials had responded to the pressure to comply with federal regulations by keeping the

Chapter 1 program operations separate from those of the regular program. To track funds, children also were tracked. Chapter 1 services were rarely coordinated with the regular program. "In other words, the regulatory strategy in Title I introduced changes that generated modest aggregate benefits in the achievement of Title I students in return for fairly serious costs to school organization and practice" (Elmore and McLaughlin 1988).

In 1980–81, the Reagan administration attempted to decentralize the federal role in education by merging Title I into a block-grant program, but opponents lobbied hard to keep Title I separate and distinct as an important program for disadvantaged children. In 1981, Congress and the Reagan administration created the Education Consolidation and Improvement Act (ECIA), which consolidated more than two dozen smaller federal education programs into a block grant for educational improvement but kept Title I intact, changing the program name to Chapter 1 and relieving some of the regulatory burden associated with the former Title I.

The Current Chapter 1 Program

Congress reauthorized Chapter 1 as part of the Hawkins-Stafford Elementary and Secondary School Improvement Amendments of 1988. Through these amendments, Congress continued to support the use of a large-scale categorical program to meet the needs of educationally deprived children, but also made it clear that the success of compensatory education is measured in the regular academic program.

The legislation included measures to hold schools, districts, and states accountable for student achievement in basic and advanced skills, encouraged creativity in the pursuit of improved performance through schoolwide projects, emphasized coordination with the regular program, and called on schools to persuade parents to take an active part in the education of their children. In addition, Congress revised concentration grants to high-poverty areas as a means to target funds on areas with concentrations of poverty. The legislation also created the Even Start program to offer intergenerational educational services to disadvantaged young children and their parents. Capital expenses funding was added to help districts defray the expense of serving students in nonpublic sectarian schools.

The Chapter 1 Formula Grant

The Chapter 1 program has two types of formula subgrants for school districts: basic grants and concentration grants. Although based on child poverty counts at the county level, the basic grants provide financial assistance for educationally deprived children in nearly every school district in the nation. Concentration grants augment basic grants in school districts with high concentrations of children from low-income families. Schools are identified for participation primarily on the basis of relative poverty. Students are identified for services on the basis of their educational performance, typically determined by standardized tests.

Chapter 1 funds can be used only for supplemental services to meet the special educational needs of educationally deprived children at the preschool, elementary, and secondary school levels.

Schoolwide Projects

An exception to this requirement is the authorization of schoolwide projects, which allows Chapter 1 funds to be used for instructional activities that benefit all children in schools with concentrations of 75 percent or more poor students. A school district designs the schoolwide project to address the educational needs of all students in the school, paying particular attention to the needs of educationally deprived children.

Program Improvement and Accountability

The 1988 amendments require program accountability through program and student-improvement provisions. In its application, a school district must specify desired outcomes for Chapter 1 students, define what constitutes substantial progress toward meeting those outcomes, and establish aggregate performance standards. The district must also review its Chapter 1 program annually to determine whether it has improved student achievement, aggregated by school, and is making substantial progress toward meeting the desired outcomes in terms of basic and more advanced skills.

Assessment and Desired Outcomes

The effectiveness of Chapter 1 programs must be evaluated on the basis of aggregated student performance and desired outcomes stated in the district's application. School districts typically use norm-referenced achievement tests to identify the students Chapter 1 will serve, to learn what educational needs the program should address, to determine the funding levels for participating schools, to reveal whether the program is working in particular schools and for particular students (in those cases where it is not, an improvement plan must follow), and to contribute their data to the assessment of program effects at the

national level. Districts must state the desired outcomes—to improve the educational opportunities of program participants—in terms of the basic and more advanced skills that all children are expected to master.

Higher-Order Skills

The Chapter 1 program defines "more advanced skills" as "skills including reasoning, analysis, interpretation, problem-solving and decision-making as they relate to the particular subjects in which instruction is provided [under Chapter 1 programs] (Section 1471(13))." Methods for assessing "more advanced" skills in reading and mathematics have been specified in the regulations by identifying specific subtests considered appropriate for measuring aggregate achievement.

Parental Involvement

A school district may receive Chapter 1 funds only if it implements programs, activities, and procedures to bring about the "meaningful involvement" of parents of public and private school children participating in the Chapter 1 program—that is, these parents must be consulted regarding the planning, design, and implementation of the district's Chapter 1 program.

The National Assessment of Chapter 1 Act

This report provides preliminary information mandated by Congress in the "1992 National Assessment of Chapter 1 Act" (P.L. 101–305) and explores some of the issues surrounding the effectiveness of the Hawkins-Stafford reforms. This report, the first of two requested by Congress for use in the reauthorization of Chapter 1, presents preliminary findings from studies that describe the effects of the 1988 Hawkins-Stafford Amendments based on national evaluations and research conducted for the Assessment. Appendix A contains a complete listing of the studies that contributed to the Assessment.

The legislation specified that the Assessment was to describe and evaluate Chapter 1 local and state evaluations, state educational program improvement plans and the extent of program improvement, the status of schoolwide projects, the overall operation and effectiveness of the basic program operated by LEAs, the extent to which children in private schools participate in Chapter 1, the Even Start program, and the operation and effectiveness of programs for migrant children. Many of these topics are awaiting the results of major evaluations and will be presented in the final report. The legislation further noted that the list of program components to be examined was not all-inclusive: "Nothing in this section shall be construed to limit or alter the authority of the Secretary to review other program aspects of Chapter 1 not mandated by this section."

In addition, the legislation created an independent review panel of "researchers, state practitioners, local practitioners, and other appropriate individuals including individuals with a background in conducting congressionally mandated national assessments of Chapter 1" to serve as consultants in the planning, review, and conduct of the Assessment. Indeed, the panel, which held the first of 10 meetings in January 1991, has consulted on and

reviewed evaluations and research on specific topics. Its work, along with presentations by a variety of other experts, has prompted the Department of Education to initiate several studies that will figure in the final report. This interim report reflects the panel's deliberations and, to the extent possible, the growing consensus on the effects of Chapter 1. The final report is due to be transmitted to Congress on December 1, 1992.

Section Two

The Context for Reform

Workers with higher levels of education and training will continue to have more options in the job market and better prospects for obtaining higher paying jobs. The message conveyed by these projections is clear, and one we cannot ignore: Education and training are the key to success for individual workers, as well as the nation's economy.

—U.S. Labor Secretary Lynn Martin

The Chapter 1 program has always operated within the context of broad national trends in society and education. The program was born of the need to address economic inequality by improving educational opportunities for the children of poverty. In 1965, when Chapter 1 was enacted, education was seen as a route out of poverty for a generation of children, and that view continues to prevail today. But since the 1960s, changes in the economy and a greater need to attain knowledge beyond basic skills have increased the importance of providing disadvantaged children access to an education that will prepare them for the workplace and for their lives outside work. At the same time, stagnant student performance has made us aware of the need to raise our expectations, particularly for the most disadvantaged students and the schools that serve them.

This section describes the educational and economic contexts of the Chapter 1 program, in order to provide a view of the education system as a whole.

- It is becoming harder and harder for persons with limited education to get and keep high-paying jobs. For more than 20 years, the unemployment rate for adults without a high school diploma has been almost double the rate for those with a high school diploma—and four to five times the rate for the college educated. Employment forecasts indicate an increased demand for workers who can deal with the more complex tasks and flexible job requirements expected in the future.

- While the achievement gap has narrowed between disadvantaged students and their peers, improvements have occurred primarily in basic skills. And progress has been slow—at present rates it would take 60 years for the bottom group of students to catch up to the level of average performance. Even this forecast is optimistic, judging by the fact that at-risk students so far have shown little overall academic progress in advanced skills.

- The achievement of low-performers in the United States lags far behind the achievement levels in other countries and the inequality in learning within our country appears wider. Assessment scores show that U.S. students in the bottom 10th in math performance achieve substantially below the levels achieved by similar students in other countries tested. Moreover, the United States has larger differences in performance than most other countries between students in the bottom 10th and students at the top 10th.

Moving Beyond Basic Skills

We know that education and training far beyond basic skills are the keys to success for individual workers, as well as for the overall economy. Will the education system be up to the challenge, particularly the schools that serve the students most in need? An examination of student performance over the past two decades provides little reason for optimism.

Education Gains and Continuing Deficits

According to 1990 data from the National Assessment of Educational Progress (NAEP), virtually all students are attaining basic mathematics skills. In addition, 9-, 13-, and 17-year-olds all showed significant increases in their grasp of moderately complex skills, pointing to the conclusion that the nation seems to be raising the floor of its proficiency in math (Mullis et al. 1991).

But concerns about the findings lie in the low percentage of students who attain higher levels of proficiency and in the fact that the trends suggest no change in the percentage of students learning more advanced material. For example, in 1990 fewer than one-fifth of the 13-year-olds demonstrated success with mathematics tasks involving moderately complex procedures, and only 7 percent of 17-year-olds demonstrated facility with multistep problem solving and aspects of algebra (Mullis et al. 1991).

The results in reading are consistent with those in math. Students appear to be mastering the lower-level skills, but few demonstrated competency with more sophisticated reading materials and tasks. Although a greater percentage of 17-year-olds reached the moderate skills level in 1990 than in 1971, the results at all three ages remained similar to those posted nearly two decades ago (Mullis et al. 1991).

Comparisons in Performance by Race/Ethnicity

Across NAEP assessments, black and Hispanic students have, on average, showed significantly lower proficiency than white students. The 1990 results showed that white students consistently had higher average achievement than their black and Hispanic counterparts at all three ages in both mathematics and reading. The trends, however, indicate considerable improvement by both minority groups. For example, in mathematics the only significant progress shown by white students between 1973 and 1990 was at age 9. In comparison, black students showed significant improvement at all three ages, as did Hispanic students at ages 9 and 13 (Mullis et al. 1991).

The reading results show the same pattern. Although the proficiency of white 17-year-olds has significantly improved since 1971, the 1990 NAEP showed that 9- and 13-year-olds were reading at about the same level as students that age were doing nearly two decades ago. Black students, however, demonstrated significantly higher proficiency in 1990 at all three ages. Hispanic students also showed gains at age 17, yet their reading performance did not change significantly at the younger ages (Mullis et al. 1991).

Comparisons by Type of Community

Differences in the 1990 NAEP scores by type of community are also apparent. For 13-year-olds testing at reading level 250 (interrelating ideas and making generalizations), 73 percent of children living in advantaged urban communities showed proficiency, compared with 53 percent of those in extreme rural areas and 41 percent in disadvantaged urban communities. Proficiency at this level for 17-year-old students living in disadvantaged urban areas was 72 percent, nearly the same as

for advantaged 13-year-olds and less than for 17-year-olds from extreme rural areas (83 percent) or from advantaged urban communities (90 percent).

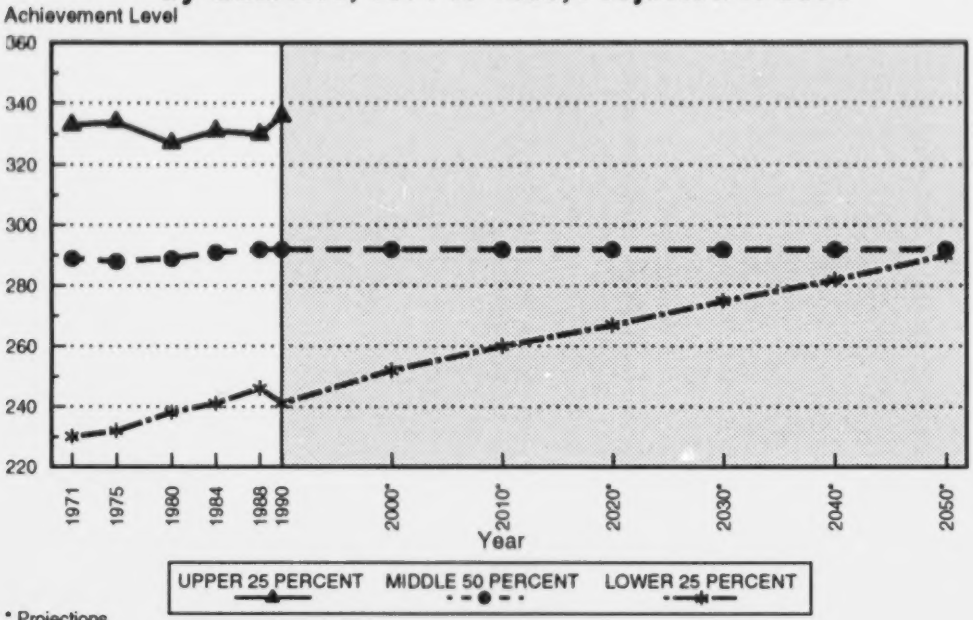
At the most advanced reading level, 11 percent of 17-year-olds living in advantaged urban communities, 7 percent of those in extreme rural areas, and 3 percent of those in disadvantaged urban areas showed proficiency. Similarly, 15 percent of 17-year-olds in advantaged urban areas showed proficiency at the highest math level, compared with 7 percent of those in extreme rural areas and 2 percent of those in disadvantaged urban communities (Mullis et al. 1991).

While the trend is not clear across all assessments, the learning gap between students in disadvantaged urban communities and their more advantaged counterparts has been closing. For example, the gap in math performance between students in disadvantaged and advantaged urban communities closed by one-third between 1978 and 1990 (Mullis et al. 1991), although the achievement of 17-year-olds in disadvantaged urban areas remained about equal to that of 13-year-olds in advantaged communities. Even these striking figures fail to take into account the dropout rate, which in some urban areas runs above 30 percent.

These trends are also evident for the lowest quartile, the children who are furthest behind in school. If the figures are projected from current levels of progress, it would take the bottom quartile of students 60 years to catch up with their peers performing at current average levels. And there is no guarantee that progress will continue or that it will continue at the same rate (see exhibit 2-1).

Scores from 1990 NAEP data did not show that the bottom group was continuing to close the gap. In fact, the gap between the highest and lowest performers increased slightly, perhaps signaling a reversal of the trend toward faster progress among the lowest achievers.

Exhibit 2-1
Trends in Average Reading Proficiency of 17-Year-Olds, by Quartiles, 1971 to 1990, Projected to 2050



* Projections

Exhibit reads: At the current rate of improvement, the lowest quartile would need sixty years to catch up to current levels of average performance.

Source: Trends in Academic Performance, NCES, 1991.

The Case for Teaching Higher-Order Thinking Skills

Repeatedly the argument is made that mastery of the basics is not sufficient to achieve success in higher education or to earn a living wage in a changing economy. The inability of students to gain higher-level understanding by the time they graduate from high school translates into an increase in the number of college students enrolled in remedial courses and an increase in the number of businesses that must devote considerable resources to training (Kennedy et al. 1986b).

There is no universally recognized distinction between higher- and lower-order thinking skills, but drawing inferences from text, interpreting what one reads, and constructing extended, coherent text are tasks generally categorized as higher-order thinking, whereas reproducing the sounds that correspond to commonly encountered phonemes, writing simple descriptive sentences, and matching vocabulary words with their definitions are not. Also, at any level of complexity, novel or unfamiliar reading and writing tasks require a more sophisticated capability to construe and solve the problems posed by the tasks than do routine tasks.

Although the current Chapter 1 legislation emphasizes the teaching of "more advanced skills," Chapter 1 schools are often bastions of conventional practices that emphasize the sequential mastery of discrete basic skills. This approach has had some success in raising achievement scores on tests of lower-order thinking but may limit children's acquisition of advanced skills (Knapp et al. 1992a,b).

Across urban, suburban, and rural elementary schools serving high concentrations of children from low-income families, researchers found that, by comparison with conventional

practices, instruction that emphasized meaning and understanding was more effective at inculcating advanced skills, was at least as effective at teaching basic skills, and engaged children more extensively in academic learning. These findings dispel the myth that, for most of the children of poverty, academically challenging work in mathematics and literacy should be postponed until they have acquired full mastery of basic skills (Knapp et al. 1992a,b).

In reading, for example, too much emphasis on basic skills may create an unintentional ceiling on learning, as children can become proficient at performing discrete tasks but not become proficient readers. In systems of discrete tasks, some students, particularly low achievers, never reach the skills at the higher end of the continuum because they continue working on unmastered "basic" skills at the lower end (Garcia and Pearson 1990).

In addition, some scholars assert that basic skills are not a prerequisite to higher-order skills, and that too much attention to basic skills may be counterproductive—by leaving too little time for work on comprehension or composition, providing few opportunities for applying spelling or phonic skills, or reducing student motivation to learn to read or write (Knapp and Needels 1990). Low-income students often do lack basic skills, but they can acquire these skills at the same time they learn more advanced skills (Knapp et al. 1992a,b). (Higher-order thinking skills and their role in the teaching of Chapter 1 students are discussed more fully in section 6 of this report.)

Higher-Order Skills in Practice

There are several reasons why the focus on lower-order skills in Chapter 1 instruction is still so common. Some local administrators believe that introducing higher-order skills would be counterproductive because the students need so much work in basic skills. Others do not think that their instructional staff

members are adequately prepared to teach higher-order skills, especially in programs that rely on aides. Still others simply have not considered the idea of focusing on higher-order skills. Finally, state testing programs influence a local district's decision to include or exclude higher-order skills.

Bolstered by years of work in cognitive psychology and linguistics, researchers who believe that disadvantaged students should be taught higher-order skills argue from a conviction that children from all kinds of backgrounds come to school with an impressive set of intellectual accomplishments:

> ***Instead of taking a deficit view of the educationally disadvantaged learner, researchers...focus on the knowledge, skills, and abilities that the child brings. Early accomplishments, attained before coming to school, demonstrate that disadvantaged children can do serious intellectual work. What we need to do is design curricula and instructional methods that will build on that prior knowledge and complement rather than contradict the child's experiences outside the school*** **(Means and Knapp 1991).**

Uneven Educational Standards

In the absence of well-defined and demanding standards, education in the United States has gravitated toward de facto national minimum expectations. Except for students who plan to attend four-year colleges, current education standards focus on low-level reading and arithmetic skills and on small amounts of

factual material in other content areas. Consumers of education in this country have settled for far less than they should have and for far less than is true of their counterparts in other developed countries (National Council on Education Testing and Standards 1992).

Many observers argue that disadvantaged students are likely to be hurt the worst when competency levels are raised, leading to an increase in dropouts and creating further inequality among students. When minimum competencies were raised in the 1970s, however, dropout rates actually decreased, and the most disadvantaged were the only ones to show achievement gains. E.D. Hirsch, Jr., argues that in other developed countries, equality in education is tied to such standards:

> ***As American children move from first grade to second, and onward, the academic gap between privileged and disadvantaged children grows wider. In several countries, the opposite occurs; the learning gap between haves and have-nots grows smaller and in some cases disappears as children move through school. Is America really so different—so "diverse" as compared with other countries—that we cannot learn from them how to give all children an equal chance?*** **(Hirsch 1991)**

Results from the International Assessment of Educational Progress in 1991 confirm that the performance of 13-year-olds in the United States lags far behind that of other countries in mathematics. Moreover, the assessment scores show that U.S. students in the bottom 10th in math performance achieve well below the levels achieved by similar students in the other countries tested. Mathematics scores of low-achievers in Korea, for example, are 41 percent higher than those of low-achievers in the United States. Indeed, only in Jordan do low-achievers in

math do worse than low-achievers in the United States (see exhibit 2-2).

Moreover, despite the poor average showing of the United States on international assessments, the inequality in learning within our country appears wider between students performing in the bottom 10th and students in the top 10th. An index of achievement disparity, using mathematics scores at the 10th percentile, 90th percentile, and the average for each country, reveals that the United States has larger differences than most others. Thus, not only do U.S. students perform lower than others at the bottom and at the average, but the learning gaps in our country appear to be wider.

Standards play a special role in the progress achieved by schools serving the most disadvantaged students. Research on effective schools, developed mostly by observing schools that serve low-income students, has shown the importance of holding high expectations for student learning. But expectations must translate into action, and schools need to establish the goal of achieving high levels of learning and to develop strategies to attain that goal.

The 1988 Chapter 1 legislation recognized the significance of establishing high performance standards for the program. Chapter 1 school-improvement requirements focused on school-level and student outcomes in relation to state-established performance objectives. This was a remarkable and significant redirection of a federal program that for two decades had focused primarily on resource requirements.

As described later, however, the initial response from most states and school systems was to establish the minimum possible achievement standard, which required that progress exceed zero improvement. Only in response to public criticism and pressure from the U.S. Department of Education's program office were standards increased minimally.

Exhibit 2-2
Indices of Low Achievement and Achievement Disparity for 13-Year-Olds in Mathematics

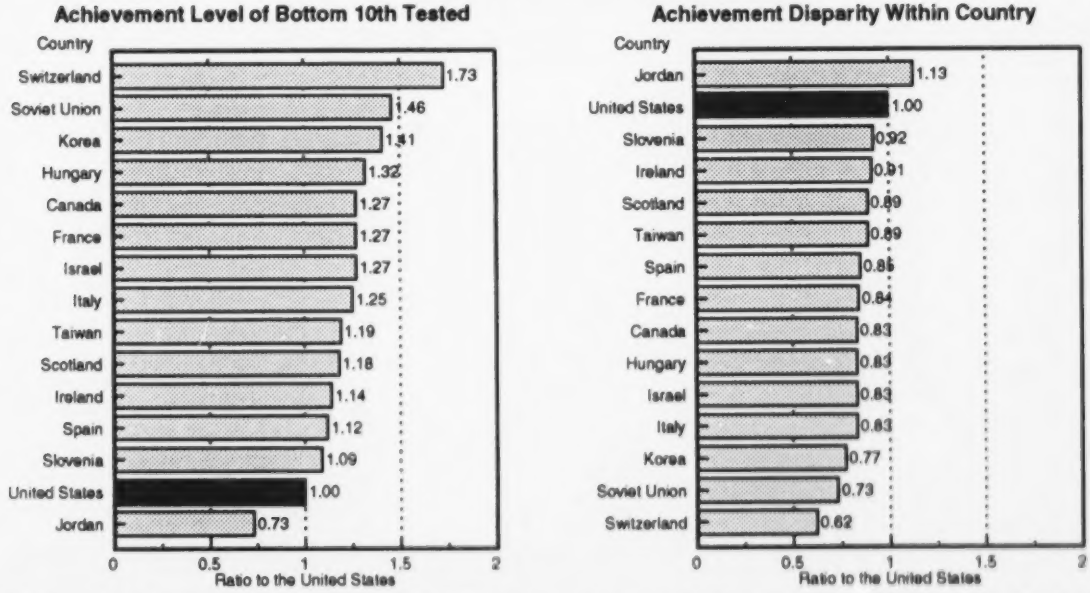


Exhibit reads: Not only do low performers in the United States score at the bottom in math internationally, but the difference between the bottom 10th and the top 10th is wider than in most other countries.

Note: Achievement disparity computed as the range between the bottom 10th and top 10th, divided by the average.

Source: International Assessment of Educational Progress, Educational Testing Service, 1992.

In the absence of consistently high standards across the country, those schools serving low-achievers are under little pressure to excel.

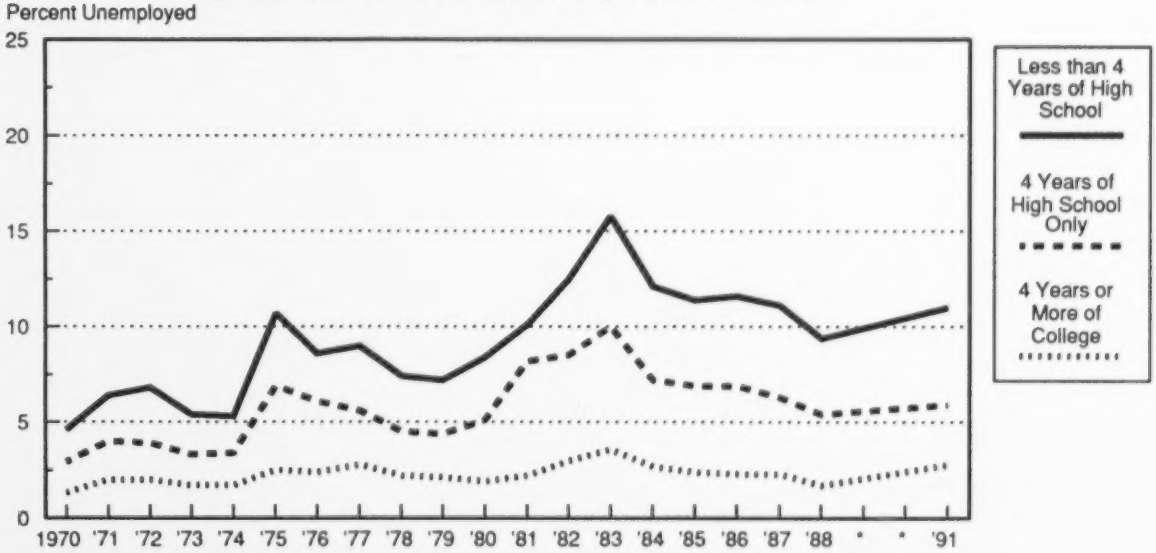
The Uneducated Are Being Left Behind

As it becomes harder and harder for persons with limited education to get and keep high-paying jobs, education remains the key to unlocking economic opportunity. Workers with better education and training have more and better options in the job market. For the past 20-odd years, the unemployment rate for adults without a high school diploma has been almost double the rate for those with a high school diploma—and four to five times the rate for the college educated (see exhibit 2-3).

The earning power of high school graduates has fallen substantially in the past decade. Between 1979 and 1991, the entry-level wage for high school graduates of all racial and ethnic groups fell 26 percent for men and 15 percent for women in real terms (Mishel and Bernstein 1992).

But as bad as the situation has been for adults with only a high school education, it has been much worse for those who do not finish high school. Between 1973 and 1987, the median annual income of 25- to 34-year-old male high school graduates fell in real terms from $24,482 to $18,366, a decline of 25 percent. Over the same period, median incomes of male high school dropouts declined by 36 percent, from $20,371 to $12,990 (Murnane 1991). In addition, the poverty rate for adults who lack a high school diploma is almost 24 percent, compared with a

Exhibit 2-3
Unemployment Rates of Persons 25 to 64 Years Old, by Educational Attainment, 1970 to 1991


Percent Unemployed
25
20
15
10
5
0
1970 '71 '72 '73 '74 '75 '76 '77 '78 '79 '80 '81 '82 '83 '84 '85 '86 '87 '88 * * '91
Less than 4 Years of High School
4 Years of High School Only
4 Years or More of College

*Note: Data not available for 1989 and 1990.

Exhibit reads: The unemployment rate for adults without a high school diploma is almost double the rate for those with a high school diploma and four to five times the rate for the college educated.

Sources: Bureau of Labor Statistics 1989; unpublished tabulations from Current Population Survey, annual averages for 1991.

9 percent rate for high school graduates, 6 percent for those with some college education, and 3 percent for college graduates (Martin 1991).

This grim future for poorly educated persons is exacerbated by projected needs for skilled workers in a technological, service-oriented economy. Jobs that require the most education and training—executive, administrative, and managerial work; professional specialty occupations; and technician and related support occupations—are expected to grow faster than average, just as they did in the 1980s. Rather than relying on physical effort or the rote precision of a single production-line task, these jobs demand proficiency in higher-order thinking, the ability to work cooperatively, and the flexibility and creativity to deal with changing and challenging situations.

Trends such as these demand our attention. "Ignoring the skills deficiencies of the American work force," says Arnold H. Packer, former executive director of the U.S. Labor Department's Secretary's Commission on Achieving Necessary Skills (SCANS), "means we will continue to see incomes decline and jobs shipped overseas. One goal of education reform is to restore the American dream in which each succeeding generation can enjoy a better quality of life than the next. For many of today's young people, the prospect of enjoying the same or better standard of living as their parents is dismal" (Packer 1992).

The Role of the Chapter 1 Program in Education Reform

Despite a host of reforms and initiatives in education generally and in the Chapter 1 program specifically over the past 27 years, the program has maintained its commitment to providing education to all children. Chapter 1 has played an important role in initiating instructional reform, in increasing accountability for a generation of students, and in providing a basis for gauging the federal role in education.

However, each reauthorization of the Chapter 1 program—including the 1988 Hawkins-Stafford Amendments—has been incremental, responding to the changing concerns in both education and public policy. Although the inclusion of requirements for both academic standards and accountability in Hawkins-Stafford was prescient, the educational reform movement has moved much further since 1988.

In 1989, the President and the nation's governors agreed to adopt national education goals; in 1990, the National Education Goals Panel was established; in 1991, the President and the Secretary of Education announced America 2000, a comprehensive national strategy to move the nation toward accomplishing the education goals by the year 2000; and in 1992, the National Council on Education Testing and Standards published its first report calling for a system of voluntary, national exams in five core subjects. These goals called for a radical improvement in student performance, and the schools in high-poverty areas appear least able to attain them.

Only if fundamental educational reform takes place for all children will these efforts be successful. Chapter 1 must be part of this reform effort.

Section Three

Program Improvement

This school got a new attitude two years ago, and it was prompted by program improvement. We were notified that we were at the bottom of the [identified] schools, and this was public information. Many teachers were depressed, and their attitude was that the scores just didn't tell the whole story.

—Principal in an urban school

Program improvement relates to test scores and that is how teachers worry about it. They teach students how to take tests and they teach the format of the tests.

—Chapter 1 supervisor

Enactment of the 1988 program improvement provisions was intended to send a bold, new message that Chapter 1 projects had to be held accountable for improved performance of Chapter 1 students. Previously, Chapter 1 projects were required to assess student learning, but there were no consequences for failing projects. As long as programs spent funds for intended purposes and followed other procedural requirements, they were in compliance. The 1988 amendments marked a departure by focusing for the first time on assessing the effectiveness of Chapter 1 projects.

However, the accountability provisions have not yet resulted in the setting of consistently high standards and expectations for Chapter 1 students and programs.

- Where program improvement efforts appear to have taken hold, as in Kentucky and South Carolina, they are often linked to larger state and local efforts.

- About half of the states continue to set their aggregate achievement standards at the federal minimum level. But more states have begun to require the use of desired outcome measures other than norm-referenced tests, and a majority of districts are requiring such measures.

- As would be expected in high-poverty districts (those in which 22 percent or more of the population is poor), a much higher proportion of Chapter 1 schools are identified as in need of improvement than is the case for low-poverty districts (those in which less than 7 percent of the population is poor). In addition, high-poverty schools are more likely than low-poverty schools to continue to be identified as in need of improvement over two years.

- Chapter 1 program improvement is a "non-event" in many of the schools identified as in need of improvement. The improvement plans and activities implemented to date are modest at best. The lack of involvement of principals in planning and implementing the plans, and the lack of coordination with broader-based improvement efforts, may account for this situation.

- State education agencies report that half of the schools identified as needing improvement "test out" of the improvement process—before implementing

improvement plans—by scoring at sufficiently high levels during the year following their identification as schools in need of improvement.

- Technical assistance from a variety of sources is an important resource for schools identified as needing improvement; however, traditional Chapter 1-supported technical assistance efforts cannot adequately meet the needs identified.

Background

Under the law's program improvement and accountability provisions:

- Schools are identified as in need of improvement if the aggregate achievement scores of Chapter 1 students show no change or show a decline over the course of the year. Standards and policies in Chapter 1 are to be developed in consultation with, and approved by, a committee of practitioners in each state.

- Districts are to intervene to upgrade performance in those schools that need improvement.

- Special funds are designated to support efforts to improve programs in schools targeted for improvement.

- States are to be involved through the design and implementation of a joint state-district improvement plan for schools that continue to show no improvement after

district intervention. States have a continuing oversight role until the Chapter 1 program in the particular school improves.

- Chapter 1 students who have not shown progress are to be identified. If after two years these students still have not improved, the districts must conduct a thorough assessment of the educational needs of such students and revise services, as appropriate.

Through the accountability provisions, Congress intended that Chapter 1 students should progress faster than students who receive no extra help. Subsequent U.S. Department of Education regulations defined the minimum school performance as showing a normal curve equivalent (NCE) gain over 12 months by Chapter 1 students of greater than zero (NCEs are based on a scale that is similar to the percentile rank but permits aggregation of results). Chapter 1 projects with no gain or a loss in either basic or more advanced skills must begin activities to improve results. In addition to requiring minimal performance standards, Congress urged districts to adopt other measures (called "desired outcomes"), not dependent on norm-referenced tests, to assess performance in basic and more advanced skills. For each measure identified, Chapter 1 projects that did not show substantial (as defined by the district or state) progress were also to initiate improvement activities.

Although schools must implement improvement plans when Chapter 1 students make inadequate gains, funding is not linked to improvements in student achievement in those schools. As the law now stands, Chapter 1 programs are required to undertake and continue activities to improve if they show no gains in achievement, but even failure to implement a joint state-local plan does not carry with it any tangible consequences for the school. In contrast, some state reform packages include penalties for low-performing schools. For example, Kentucky's Education Reform Act specifies a series of consequences for failing schools,

including the option for parents to send their children to a different school. Also, the state can take over the daily operation of any school that shows low school achievement for two years.

As part of the focus on program improvement, the Hawkins-Stafford Amendments provided specific examples of program improvement activities (ESEA, P.L. 100–297, section 1020(a)(2)), including training and retraining of personnel, development of curricula that have shown promise in similar schools, replication of promising practices in effective schools models, improved coordination between Chapter 1 programs and the regular school program, and development of innovative strategies to enhance parental involvement.

Section 1405 of the amendments authorized a portion of Chapter 1 funding to help with the cost of program improvement activities, to be distributed by formula to the states. For fiscal years 1989 through 1991, 0.25 percent of the appropriation was authorized; for fiscal years 1992 and 1993, the authorized proportion was raised to 0.5 percent.

Through the requirements for improvement in school and student achievement, Congress indicated its strong support for academic accountability—and its recognition that a focus on fiscal and programmatic compliance was insufficient to bring about substantial improvement in academic performance. Through the amendments, Congress was sending a clear message that it did not want continually failing programs to receive federal assistance without some intervention. Yet a number of problems have developed to thwart the full realization of Congress's intentions.

Assessment for Program Improvement

Considerable variation is allowed in how schools that need improvement are identified. State education agencies have the authority to set their own aggregate performance standards, which can be higher than the federal minimum of a gain greater than zero. They may also require districts to establish desired outcomes other than the aggregate performance measure. School districts may specify additional measures for the desired outcomes for their Chapter 1 projects, and must identify as in need of improvement any school in which students are not making substantial progress toward these outcomes.

The number of schools identified for program improvement indicates that this mechanism has the potential to exert a substantial influence on Chapter 1 projects. According to data collected through the Chapter 1 State Survey conducted in January 1990, the number of Chapter 1 schools identified as needing improvement on the basis of data from the 1988–89 school year was 5,033, approximately 10 percent of all Chapter 1 schools (Turnbull et al. 1992). In the 1990–91 school year, 8,947 schools were involved in program improvement. Of these, 77 percent were in their first year of program improvement and 22 percent were in their second year. In the 1991–92 school year, 10,582 schools had been identified for program improvement; of these, 61 percent were in their first year of program improvement, 33 percent were in their second year of program improvement, and 6 percent were in their third year (Compensatory Education Programs 1992). The schools were located in all 50 states, the District of Columbia, and Puerto Rico, and included Bureau of Indian Affairs schools.

Schools serving high concentrations of low-income students face the most difficult educational problems and would be expected to be disproportionately identified for program improvement. The

results conform to expectations. Indeed, exhibit 3-1 illustrates that high-poverty districts (those in which more than 21 percent of the population is poor) have a much higher proportion of Chapter 1 schools identified as in need of improvement (43 percent) than do low-poverty districts (those in which less than 7 percent of the population is poor), where 14 percent of the schools have been identified as in need of improvement (Millsap et al. 1992b).

In looking at poverty levels within schools, recent studies have found that high-poverty schools are more likely than low-poverty schools to continue to be identified as in need of improvement over several years. As illustrated in exhibit 3-2, 57 percent of high-poverty schools (in which at least 75 percent or more students are eligible for free or reduced-price lunch) continue to need program improvement after two years, compared with 10 percent of low-poverty schools (in which no more than 20 percent of the students are eligible for free or reduced-price lunch) (Abt Associates, Inc. 1992).

Because the program improvement requirements are new, formative evaluations of the effectiveness of the process are especially appropriate. Desirable characteristics of the improvement process include accurately identifying schools that need improvement, developing a sound improvement plan for each school so identified, providing appropriate technical assistance to implement the plan, and initiating penalties for continued plan failure and recognition/rewards for success in implementation.

Accurately Identifying Schools That Need Improvement

When Congress passed the requirements for improvement in Chapter 1, the mandate for linking academic standards and accountability represented the cutting edge of educational reform. However, congressional intentions were undercut by a

Exhibit 3-1
Total Chapter 1 Schools and Distribution of Chapter 1 Schools in Need of Improvement, by District Poverty Quartile

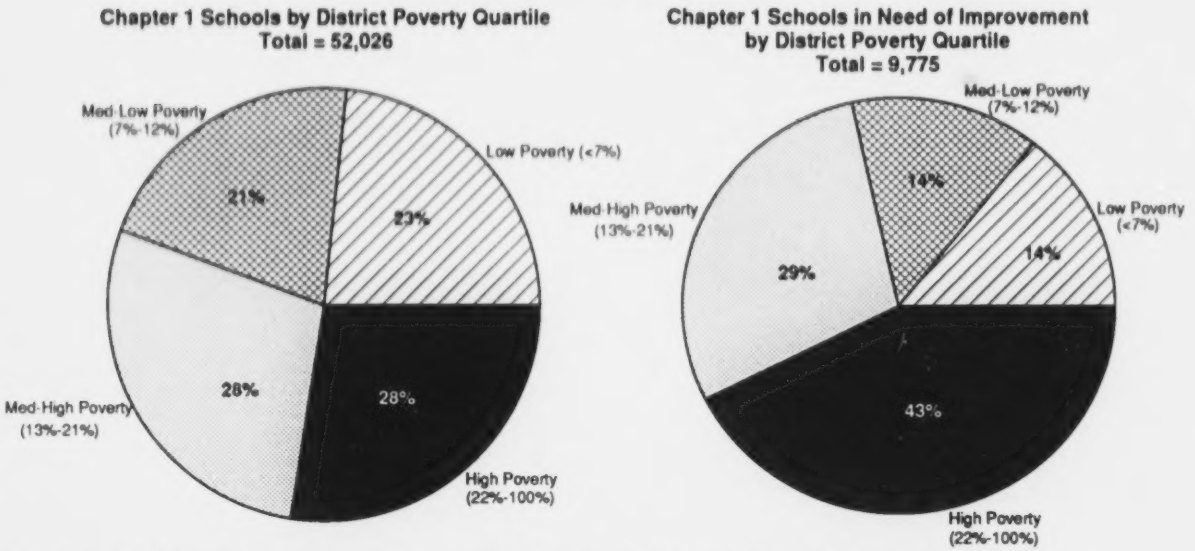


Exhibit reads: Although 28% of Chapter 1 schools are located in high-poverty districts, Chapter 1 schools that are located in high-poverty districts represent 43% of all schools identified for program improvement.

Note: District poverty rates were obtained from the 1980 Census mapping of school district boundaries, which used the Orshansky index of poverty.

Source: Chapter 1 Implementation Study, Abt Associates, 1992.

Exhibit 3-2
Percent of Schools (with a Third Grade) Identified as Requiring Improvement, by Level of Free/ Reduced-Price Lunch Eligibility, 1991

	Percent of Students Eligible for Free/Reduced-Price Lunches					
Schools	**All Schools Identified**	**0–20**	**21–40**	**41–60**	**61–74**	**75–100**
Identified for the first time in 1990–91 as requiring school improvement	9%	15%	7%	4%	16%	8%
Identified as requiring improvement for a second year in 1990–91	9%	7%	4%	3%	21%	24%
Continuing to be identified as requiring improvement after the second year	25%	10%	24%	22%	32%	57%

Exhibit reads: Twenty-five percent of all schools with a third grade have been identified as in need of improvement and continue to fall into the program-improvement category under the Chapter 1 Guidelines. The incidence of being identified as needing improvement increases as the level of poverty increases. Fewer low-poverty schools (10%) continue to need improvement after the second year than do high-poverty schools (57%).

Source: Prospects 1992.

number of factors, particularly those related to the identification process. These will be discussed to set the context for the description of state and local procedures for identification of schools in need of improvement.

If Chapter 1 program administrators and school officials are to target the right schools for program improvement activities, they must have confidence that program improvement criteria identify those schools that truly need to change. Negative perceptions of the accuracy of the identification process have dampened enthusiasm for program improvement. Also, some school administrators are not even aware that their schools have been identified for Chapter 1 program improvement.

Preliminary national data show that about 17 percent of the principals in schools that had been identified as requiring program improvement reported that their school was not so identified, and 22 percent indicated that their school was identified for program improvement when it actually was not in this status (Millsap and Moss 1992).

With respect to the accuracy of the identification process, 31 percent of principals in elementary schools thought the program improvement identification process was good, 43 percent judged it fair, and the remaining 26 percent considered it poor (Millsap and Moss 1992) (see exhibit 3-3).

Surveys of state Chapter 1 coordinators have asked them to rank 11 categories of Chapter 1 requirements according to how necessary they are for attaining the program's objectives. State coordinators overall rank the new requirements for program improvement comparatively low. In a 1990 survey these requirements ranked eighth; by the end of 1991 the program improvement requirements had moved up only to seventh place (Turnbull et al. 1992). Coordinators rated the ranking and selection of students (1989–90) and needs assessment

Exhibit 3-3
Coordinators' and Principals' Perception of the Accuracy of the Program Improvement Assessment Process

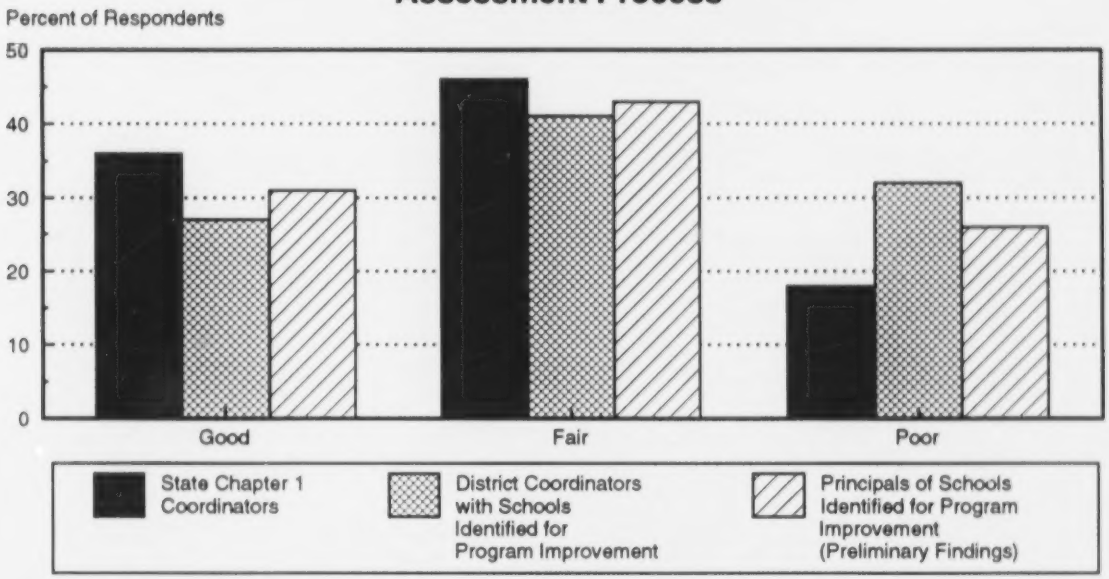


Exhibit reads: One-third of the Chapter 1 district coordinators with schools identified for program improvement rated the accuracy of the program-improvement identification process as poor.

Source: Chapter 1 Implementation Study, Abt Associates, 1992.

procedures (1991–92) as the top requirements necessary for attaining the program's objectives.

Another problem is that using a measurement of change (a gain in normal curve equivalents—NCEs) as a criterion for program improvement precludes an examination of the absolute level of performance of Chapter 1 students. Thus a school in which Chapter 1 students are demonstrating relatively high achievement would be designated for program improvement if its students did not improve, whereas a school in which Chapter 1 student performance is low would not be designated for improvement if its students showed some gain.

In sum, a number of important issues need to be taken into account when assessing the progress of states and school districts in implementing the program improvement provisions of the law.

In the 1989–90 school year (the first year in which states were required to implement the new program requirements under the Hawkins-Stafford Amendments), just 16 state education agencies required the use of a cutoff point higher than the statutory minimum (no gain or a loss in NCEs) to determine whether schools required program improvement (Turnbull et al. 1990). This minimum cutoff point is lower than the national average for progress by Chapter 1 students. Most districts followed the lead of their states, although 9 of the 36 SEAs using the minimum standard reported that at least some of their districts were independently setting a higher cutoff point (Turnbull et al. 1990). Considerable attention and publicity were given to these findings through the U.S. Department of Education's 1990 report on state administration of the amended Chapter 1 program, congressional hearings on implementation, and the efforts of the department's program office to promote higher standards.

However, some states considering higher NCE gains have been cautious because of the reliance on low-level basic skills tests for NCE scores. For example, a recent study of South Carolina's

compensatory education program recommended the use of multiple indicators of success to raise standards (MGT of America, Inc. 1992).

Another reason states may have chosen to adopt the minimum aggregate achievement standard is that use of a different measure could trigger the identification of a set of schools for Chapter 1 program improvement completely different from those identified for improvement efforts under state requirements. This situation recently developed in Connecticut (Whitelaw 1992).

It may also be true that schools identified are *not* substantially different from those not identified. Preliminary data from the Prospects Longitudinal Study show that schools identified for program improvement for the first time have virtually the same aggregate achievement scores on the Comprehensive Test of Basic Skills (CTBS) as schools not identified (mean scores of 675 vs. 678). Those identified for the second year in a row did show greater differences (660 vs. 679), as did those identified for the third year in a row (660 vs. 683).

By the 1991–92 school year, the number of SEAs using an achievement standard higher than the minimum standard established in federal regulations had risen to 23; the remaining 27 reporting SEAs used the minimum. Of the 16 that had used a higher standard two years earlier, 5 had reverted to the minimum standard, and 1 did not respond to the follow-up survey. Thus the 23 states with higher identification standards in 1991–92 included 10 with consistently high standards and 13 that had raised their standards (see exhibits 3-4 and 3-5).

More stringent standards for identifying schools for program improvement have also been recommended over the past several years by the state-appointed Chapter 1 committees of practioners. Committees in 29 states now recommend standards higher than those required by federal law, as compared with 17 committees in 1989–90. The composition of these committees

Exhibit 3-4
Number of States, by Normal Curve Equivalent (NCE) Gain Score Required for Aggregate Performance, 1989–90 to 1991–92

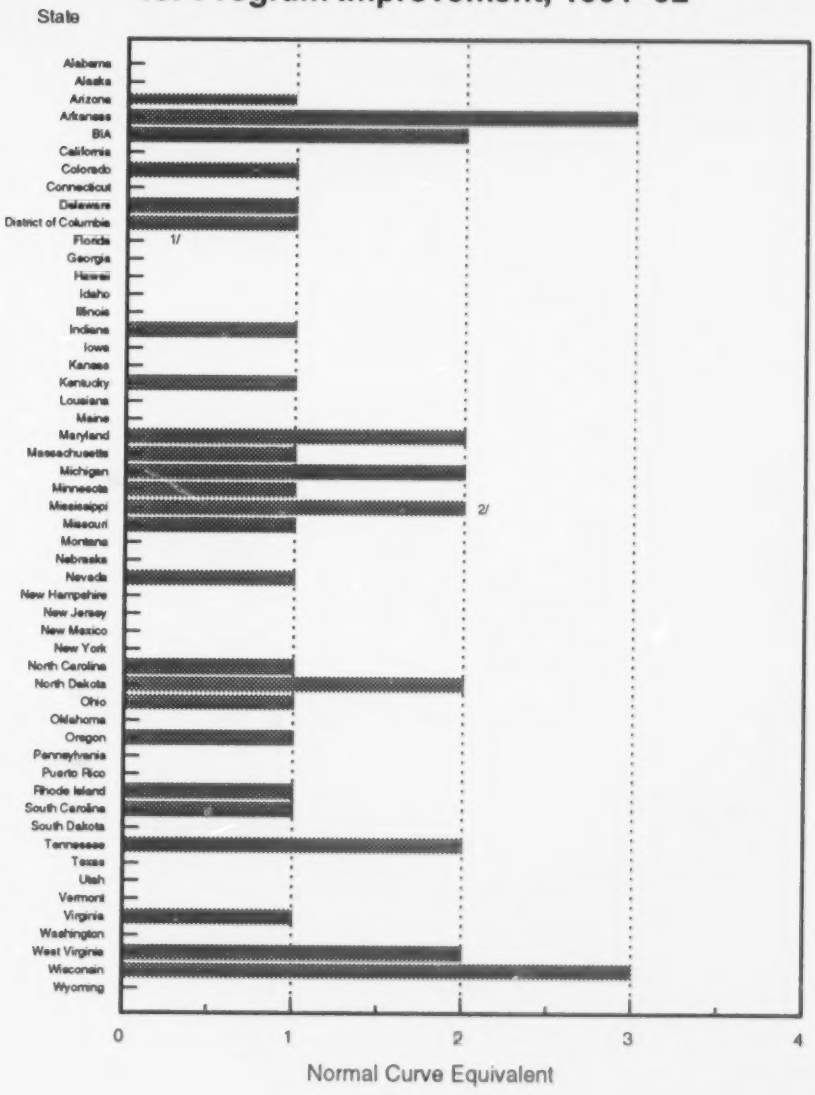
Number of States in Each Standard Category			
NCE Gain	**1989–90**	**1990–91**	**1991–92**
Below 0	3	0	0
0	39	34	27
+1	7	9	17
+2	3	6	6
+3	0	1	2
Other	1	2	1
Total	53	52	53

Exhibit reads: Between 1989–90 and 1991–92, a majority of states continued to set the minimal achievement standard established in the Chapter 1 regulations (no gain or a loss in normal curve equivalents).

Note: SEAs include states and territories.

Source: Compensatory Education Programs 1992.

Exhibit 3-5
Aggregate Achievement Standards Used by States for Program Improvement, 1991–92



(continued)

Exhibit 3-5 (continued)
Aggregate Achievement Standards Used by States for Program Improvement, 1991–92

Exhibit reads: A majority of states (27) and Puerto Rico use the minimal achievement standard established in the Chapter 1 regulations (no gain or a loss in normal curve equivalents) to determine whether schools are in need of program improvement.

Notes:

1/ Florida requires more than 50% of students to increase at least 1 percentile rank.

2/ 1.5–2.0 NCE gains (grades 2–6), 1 NCE gain (grades 7–12)

Source: Compensatory Education Program (Personal communication with state Chapter 1 coordinators), 1992.

remained essentially the same between the 1989–90 and 1991–92 school years (Turnbull et al. 1992). About 25 percent were local Chapter 1 coordinators, 17 percent teachers, 14 percent parents, plus other local administrators, SEA staff, principals, and members of local boards. They have been most involved in reviewing initial drafts of rules or policies.

States display large differences in the percent of Chapter 1 schools identified for program improvement. State differences were clearly associated with the levels of gain that states established as acceptable performance. The higher the level of gain required, the more schools were identified. In states where the SEA set a standard of aggregate achievement higher than the statutory minimum, 20 percent of Chapter 1 schools were implementing improvement plans in 1991–92, compared with only 8 percent of Chapter 1 schools in states that set the minimum standard (see exhibit 3-6).

Developing and Implementing Sound Long-Range Improvement Plans

If schools have not been successfully educating their students that are most at risk, program improvement affords them a reason to step back and assess ways they can do better. If schools really want to improve, they, their districts, and their states must see program improvement as a serious and valuable process.

To develop sound program improvement plans, school principals need to be involved. Indeed, the improvement effort should be undertaken broadly so that efforts to improve the Chapter 1 program are a part of a larger school improvement process.

The preliminary conclusions from a formative evaluation of technical assistance to nine sites (five urban and four rural)

Exhibit 3-6
Percent of Chapter 1 Schools Identified for Program Improvement That Actually Implemented Improvement Plans, by SEA Standards

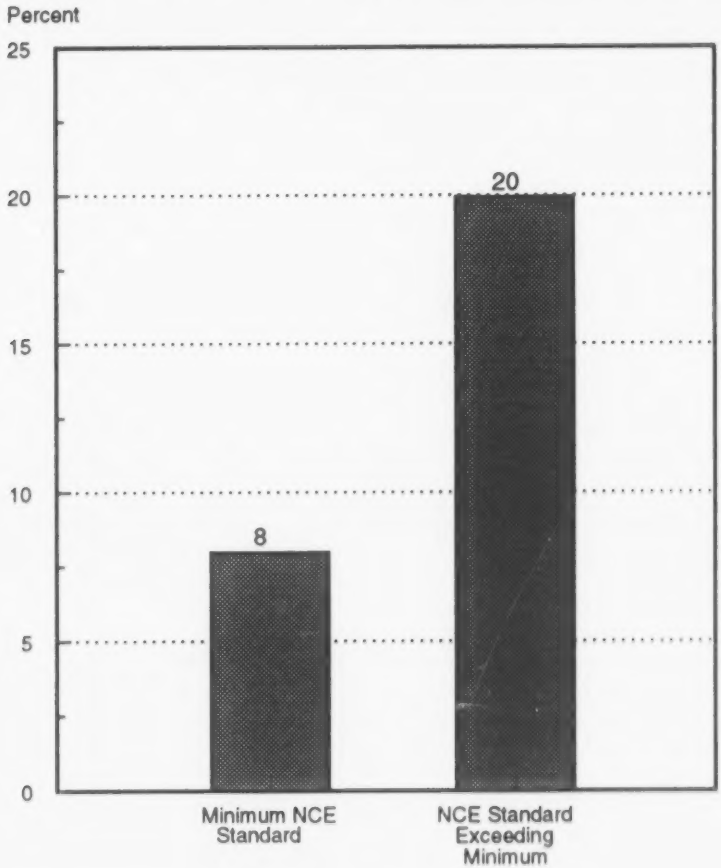


Exhibit reads: In states where the SEA sets a standard for aggregate achievement higher than the statutory minimum, 20% of Chapter 1 schools are implementing improvement plans.

Source: Follow-Up State Survey, Policy Studies Associates, 1992.

underscore some of the problems with the current program improvement process:

> **Chapter 1 program improvement is a non-event in many of the schools identified as in need of improvement.** ***The context for technical assistance is shaped, in part, by designation for Chapter 1 program improvement. When first identified for program improvement, school staff in the nine sites were typically confused about the identification process, the deficiencies they were expected to correct, and the requirements for getting out of program improvement. Staff in some schools perceived the process as unfair and as an additional, unproductive bureaucratic burden. The upshot was that identification rarely generated much action beyond submitting a program improvement plan, and these plans seldom included significant changes in Chapter 1 programs. The level of teacher participation in the process was low, and there does not appear to have been any significant feedback on the plans from SEAs or LEAs or any effort to monitor implementation. Although our data is incomplete, it appears that many of the schools included in the initiative tested out of program improvement after the first year and before any significant changes in Chapter 1 services could be implemented*** **(Haslam 1992).**

Many schools identified as requiring program improvement in the first couple of years following implementation of the Hawkins-Stafford Amendments apparently took no action but waited until the next testing period to see whether they "tested

out" of program improvement as a statistical artifact (scores tend to fluctuate from year to year as a matter of course) (Turnbull et al. 1992).

In the nationally representative Chapter 1 Implementation Study, district Chapter 1 coordinators indicated that most schools used the first year following identification as a planning or partial implementation year; if schools did not test out of the process, the second year was devoted to full implementation (Millsap et al. 1992b). Indeed, approximately half tested out of program improvement in the second year—before implementing their program improvement plan (Turnbull et al. 1992) (see exhibit 3-7). Only 28 percent of districts had completed procedures for identifying students who had not shown gains after two successive years in the program (Millsap et al. 1992b).

In contrast, California requires all schools identified for program improvement to remain in program improvement for at least three years. This policy addresses the issue of fluctuating test scores and the length of time needed for change to take hold.

It is apparent that many school officials view the program improvement requirement as a punishment, or, as one school official put it upon learning the school had tested out, the school was now "off probation." But the nine-site study did point to several communities in which school improvement had taken hold. One site used the nine-site initiative as the occasion to portray identification for improvement as an opportunity to implement substantive changes in the Chapter 1 program.

It is also possible for improvement under the Chapter 1 mandate to be coordinated with state or local reform initiatives. In most sites participating in the nine-site initiative, this has not happened; instead, Chapter 1 program improvement has tended to be "overshadowed" by other reforms. In Kentucky, however, the technical assistance that followed the Chapter 1 improvement mandate has helped schools "respond to several key mandates of

Exhibit 3-7
Percent of Schools That "Test Out" of Program Improvement Before Implementing Plans (*n*=45)

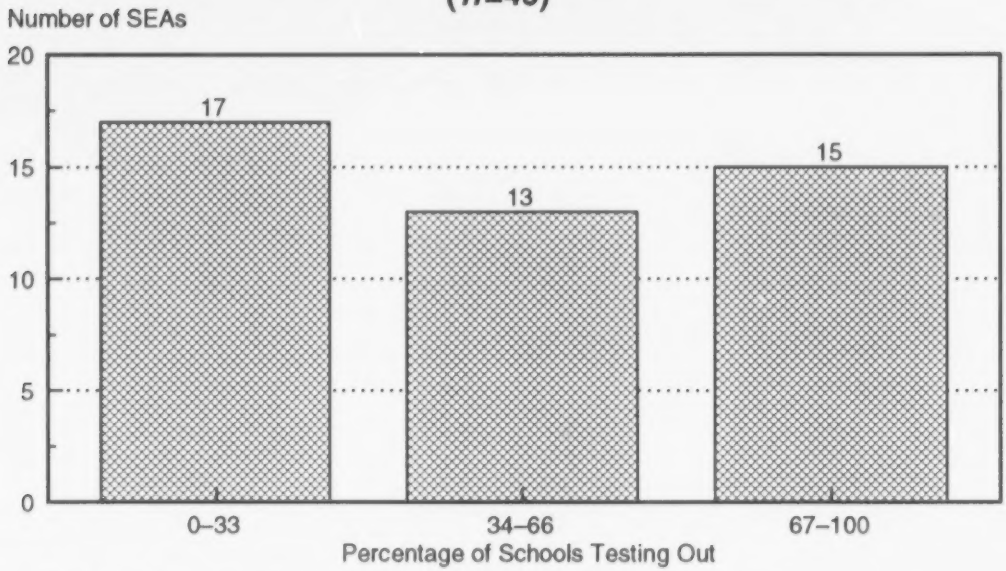


Exhibit reads: Twenty-eight state coordinators reported that more than a third of the schools in their states identified as requiring program improvement tested out before implementing a plan; 15 of these coordinators reported that more than two-thirds of such schools had tested out.

Source: Follow-Up State Survey, Policy Studies Associates, 1992.

the Kentucky reform initiative at a time when no other assistance is available" (Haslam 1992 draft) (see exhibit 3-8).

Providing Technical Assistance to Encourage Improvement, and Instituting Penalties for Continued Failure

Schools identified as requiring improvement may need extra help to improve. Technical assistance could provide such schools with the help they require to embark on and sustain a new direction.

One source of extra support is program improvement funds provided by Chapter 1. In the 1990–91 school year, $12.5 million was available for program improvement grants. By the middle of that school year, few districts had received program improvement funds from their state offices, and grants, when awarded, were quite small, averaging $2,000 per district in that school year (Millsap et al. 1992b). In 1991–92, $14.8 million was available, with grants averaging $2,500 per school (Turnbull et al. 1992). These funds by themselves appear to be too small and diffuse to offer much help in leveraging change. Furthermore, although Chapter 1 programs may a ·ise their basic grant money for program improvement activities, only one-third reported that they do so (Millsap et al. 1992b).

Technical assistance also can be of immediate and direct help. Most states and districts with schools that need program improvement seek technical assistance from the traditional Chapter 1 network (see exhibit 3-9), rather than asking for help from colleges and universities or the regional educational laboratories (Millsap et al. 1992b; Turnbull et al. 1992). However, the traditional Chapter 1 network can offer little help. For example, when SEAs were asked how many person days their staff would be able to spend in the schools identified as requiring joint SEA-LEA improvement plans (the schools showing the most

Exhibit 3-8
Linking Chapter 1 Program Improvement to a Comprehensive State Reform Initiative, Pike County, Kentucky

In 1990, the U.S. Department of Education established the nine-site program improvement initiative as a multiyear experiment to demonstrate how technical assistance, combined with relatively modest amounts of other resources, can enhance local capacities for improving Chapter 1 programs that have been identified for program improvement. In Pike County, Kentucky, the technical assistance services have demonstrated the potential links between options for Chapter 1 program improvement and the mandates of the Kentucky Education Reform Act (KERA), one of the most comprehensive state reform initiatives in the nation.

Beginning in the 1990–91 school year, staff from the Region 2 Rural Technical Assistance Center (RTAC) conducted a series of staff development and other assistance activities that examined KERA requirements and options for Chapter 1 program improvement. Participants in these activities included LEA Chapter 1 officials, principals, and teachers from Chapter 1 and regular programs. Specific topics and areas of assistance, derived from KERA, included strategies for designing developmentally appropriate curriculum and instructional strategies for ungraded classrooms in grades K–3, performance-based assessments for writing, and team planning and decision making. RTAC staff have also helped several schools prepare applications for grants to establish Community Resource Centers in order to reach out to parents.

Overall, technical assistance has conveyed information about important policies and program options and encouraged teachers to experiment. The RTAC effort has also helped school staff view carrying out KERA mandates and meeting Chapter 1 program improvement requirements as complementary tasks.

Exhibit 3-9
Types of Entities Providing Technical Assistance to Schools in Need of Program Improvement, as Reported by Districts, School Year 1990–91

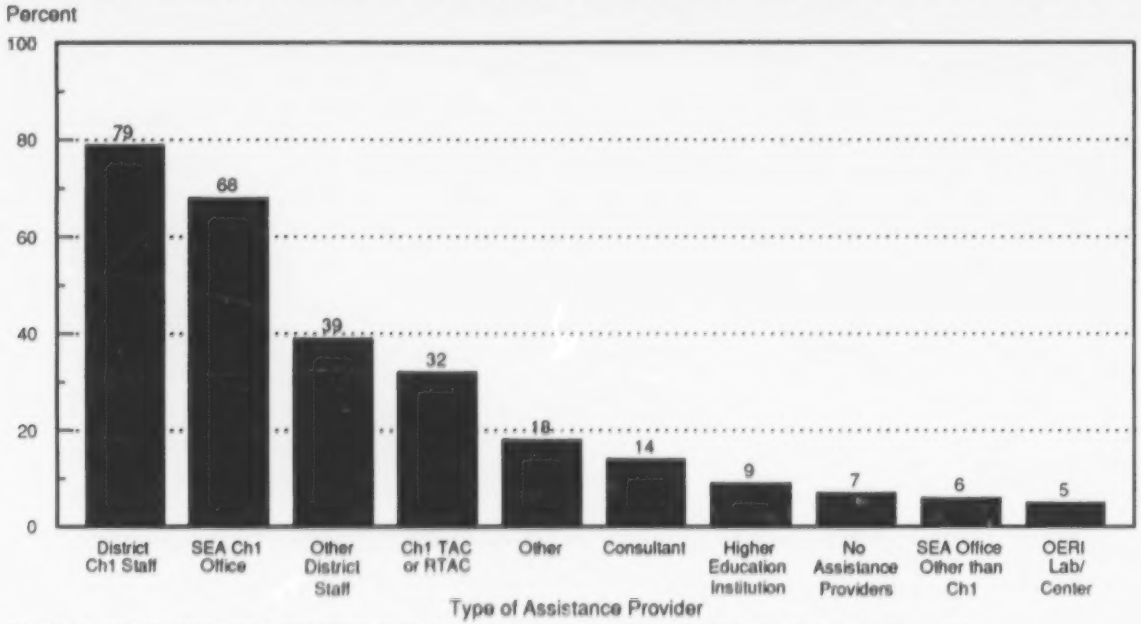


Exhibit reads: Of districts in program improvement that sought assistance in their programs, most reported seeking technical assistance from the traditional Chapter 1 network.

Note: Total adds to more than 100% because respondents could select more than 1 category.

Source: Chapter 1 Implementation Study, Abt Associates, 1992.

severe need for help), the median SEA response was two person-days per year (Turnbull et al. 1992). Furthermore, early results from the nine-site study suggest that even when technical assistance is made available, some schools and districts may not use it and may not want more help.

Rightly or wrongly, administrators of schools with no NCE gains or losses often do not view their school as performing poorly, especially if they have little history of poor performance or if the scores are from small numbers of students. Unless administrators are convinced that a school needs improvement or more improvement than other schools in the district, their reception of the "needs improvement" label is lukewarm at best. When people felt the process had accurately identified schools, then some action was more likely to be undertaken (Millsap et al. 1992b).

Even if testing problems were fixed, the consequences for Chapter 1 school programs that fail to improve remain limited. The nine-site study also demonstrates that schools may be more concerned about other reform initiatives tied to state and local funding. For Chapter 1 program improvement efforts to be successful in the long run, they may have to be better integrated with these other reform initiatives. Today this is not the case. A recent survey of advisers to state legislative policymakers found that they basically did not consider Chapter 1 policies in their education budgeting. One put it this way: "It's a non-issue" (Peterson 1991).

Issues to Be Examined in the Final Report to Congress

The final report to Congress will provide additional information on program improvement issues based on case studies of schools that have been required to undertake program improvement and analyses of the Prospects Longitudinal Study. Student achievement and its relationship to program improvement and the standards set by the district will be investigated.

Issues to be examined in the final report include these:

- What measures and standards should be used to identify schools that need program improvement?
- What reform efforts do schools include as part of their program improvement plan, and what activities do they actually undertake?
- Is enough technical assistance being provided to schools that need improvement and to the districts in which they are located? What types of technical assistance are most effective?
- How can Chapter 1 program improvement efforts be tied more closely to broader education reform efforts?
- Are the penalties for schools that fail to make gains in aggregate student achievement and other desired outcome measures adequate to effect improvement?

Section Four

Assessment and Testing

> ***When I went to one administrator to ask for the textbooks I felt I needed to raise students' scores to even the minimum standard of competency in the routine State and District mandatory testing, I was told: 'No, Jaime, those books do not qualify for Title I. They are clearly not remedial.' This same individual also told me, in complete seriousness: 'Jaime, if you get better test scores for these kids then we're not going to qualify for Title I money.'***
>
> —Jaime Escalante, teacher of mathematics

The 1988 Hawkins-Stafford Amendments, with their emphasis on improving student performance in Chapter 1 programs, heightened the importance of student assessment as an issue in Chapter 1 policy and practice.

This section discusses current issues in Chapter 1 testing, describing the local practices that have resulted from the law and regulations and placing these in the context of other recent developments in the field of student assessment.

- The attention given to assessment in the Hawkins-Stafford Amendments has resulted in a growing criticism of the use of commercial norm-referenced testing for high-stakes purposes. This

criticism coincides with a movement toward student assessment that emphasizes advanced skills, links assessment to curriculum standards, and relates testing with the course content.

- Because commercial achievement tests are designed to be independent of particular curricula or instructional practices, the content of the tests is unlikely to match the academic goals of particular teachers, schools, districts, or states. Thus, these tests provide little specific feedback on student performance that can shape instructional decisions. Students' learning may be inhibited by tests that narrow the focus of curriculum and instruction.

- The test-based system of identifying schools for program improvement has limited credibility among states, districts, and schools. The year-to-year instability of norm-referenced tests illustrates their general weakness: as mentioned earlier, half of the schools identified for program improvement "test out" after one year, before implementing their improvement plans.

- Although schools qualify for Chapter 1 services on the basis of their poverty level, they receive resources based on the "number and needs of children to be served," that is, schools with more low-scoring children tend to receive more services. This seemingly logical provision has the perverse effect of creating a disincentive for schools to raise performance among their lowest-scoring students: if schools improve the performance of students, they lose Chapter 1 funds.

- Few districts exercise any substantial control over the quality of the data they report to fulfill national reporting requirements. States, like districts, make little use of the Title I Evaluation and Reporting System (TIERS) data, and,

nationally, TIERS falls well short of providing test data for all participants.

- The growing national, state, and local interest in, and work under way on, content standards and assessments could provide a further basis for reconsidering Chapter 1 Assessment. Indeed, Chapter 1 should be tied to these efforts. The Secretary of Education has established a 15-member advisory committee on testing in Chapter 1 to explore these issues. The committee will complete a final report in the fall, 1992.

Background

The new requirements for program improvement—triggered at the school or student level by inadequate gains in measured performance—have been described in the previous section. Other new provisions of the 1988 law and regulations pertinent to student testing include the following:

- School districts must assess Chapter 1 participants' progress in the regular instructional program.
- They must also assess student progress in both basic skills and more advanced skills.
- Evaluations of student achievement must take place on an annual cycle, using fall-to-fall or spring-to-spring testing as opposed to fall-to-spring testing.

As in the past, districts use student testing to serve multiple purposes in the Chapter 1 program. Overwhelmingly, they use standardized, norm-referenced tests as key determinants of the students the Chapter 1 program will serve and the educational needs it will address, and test scores commonly affect the funding levels for participating schools. In addition, school districts must use these tests to reveal whether the program is working in particular schools and for particular students (under the program improvement requirements) and must contribute data to the national-level assessment of program effects.

Implementation of the Hawkins-Stafford Amendments has relied on the available testing technology that has been a cornerstone of Chapter 1 evaluation and reporting since the 1970s. The use of standardized norm-referenced tests in Chapter 1 results from a congressional mandate in the 1974 amendments to Title I, which called on the U.S. Office of Education to develop a system for the nationwide aggregation of student performance data. Those amendments, reflecting congressional dissatisfaction with "the persistence of inadequate evaluations" (Kober 1991) in Title I, mandated uniform procedures within a three-tiered evaluation and reporting system intended to serve local, state, and national information needs. The idea was that all districts should administer tests that were roughly comparable to each other so that it would be quantitatively possible to learn how much progress Title I (later Chapter 1) students were making on a statewide or nationwide basis.

Responding to this mandate, the U.S. Office of Education developed the TIERS, which specifies testing and reporting procedures that can result in the necessary reports at the state and national levels. A critical feature of TIERS is the specification that districts must assess achievement with nationally normed tests or tests that have been equated to national norms (i.e., ones that measure much the same skills as the commercially available tests); this is the only way to obtain student performance data that are in some sense nationally comparable. The 1988

Hawkins-Stafford Amendments state that the Secretary may continue to use TIERS for this purpose.

With the requirement for national aggregation still in place, annual achievement testing has been a vehicle for multiple assessment purposes in Chapter 1. For example, districts can satisfy the requirement to assess performance in advanced skills by using the subtests of reading comprehension and mathematics problems and applications. They must use NCEs as part of their procedure for identifying schools and students in need of program improvement, since these permit comparison of Chapter 1 students' progress with that of the norm group.

During the past few years, while standardized norm-referenced tests have been assigned a key role in informing Chapter 1 program directions, different approaches have been gathering momentum within the field of student assessment. As this section of the report discusses, criticism of the use of commercial norm-referenced achievement tests for high-stakes purposes has been growing; so has a simultaneous movement to develop alternative forms of student assessment. Embodied in such work as the report of the National Council on Education Standards and Testing and several states' new frameworks for curriculum and assessment, this movement rests on several premises about assessment: that students should be called on to demonstrate problem-solving and other kinds of advanced performance skills, not just routine ones; that assessment should be directly connected to curriculum standards and frameworks; and that the tasks that students perform as part of the assessment should be worth practicing—in other words, that the test is designed to be worth teaching to. In fact, these premises are similar to the spirit of the new provisions in the 1988 amendments to Chapter 1 that call for assessment of more advanced skills and of progress in the regular instructional program.

Uses and Limitations of Current Testing Practices

Evidence from current studies of Chapter 1 programs shows the value that student assessment can have when data on student performance and needs are integrated into the school's routine functioning by knowledgeable educators (see exhibit 4-1). However, this vignette from a site visit in the Implementation Study stands in contrast to the more routine, bureaucratic processing of performance data that characterizes most other districts visited in that study. Typical practices in Chapter 1 assessment raise several issues that are discussed here: the relationship between assessment and instruction, the use of tests in program improvement, their use in student selection, the relationship between student performance and local resource allocation, and the national aggregation of performance data.

Relationship Between Assessment and Instruction

Since the mandate for national aggregation of performance data has dictated reliance on nationally normed tests, it is important to know how the characteristics of these tests may affect the program. Testing and instruction are linked in several ways, especially the use of tests in needs assessment for selecting student participants and shaping the program's instructional focus.

Multiple-choice, machine-scorable tests with national norms represent an inexpensive, reliable means of assessing student performance on certain academic tasks. They eliminate the bias that may exist when human judges directly assess students' work, either because these judges know the students personally or because they make assumptions about students who belong to

Exhibit 4-1
Multiple Measures of Students' Success in School: A Principal's Perspective

In an isolated, rural southwestern community, an overcrowded 40-year-old school has entered the 21st century. This school, brightly lit and festooned with banners and children's work, is the home of a Chapter 1 schoolwide project. In a community where many parents neither read nor speak English and few have telephones or electricity, the school principal carefully tracks the performance of each student on his desktop personal computer.

Working with the district's part-time Chapter 1 evaluation specialist, the principal designed a data base for all 350 students in the primary school. In keeping with the principal's emphasis on language skills—reading, writing, and speaking—the data file includes reading test scores as well as fall and spring writing assessments (with writing samples). Teacher assessments, attendance rates, participation in counseling, parent participation in school events, and free or reduced-price lunch status are included as well. The file is cumulative: for second-grade students, for example, it includes test scores and teacher assessments from kindergarten and first grade. With this data base, the principal examines an individual student's performance over time and compares groups of students with each other. Students are assigned to counseling, for example, if they are performing significantly below their peers.

(continued)

Exhibit 4-1 (continued)
Multiple Measures of Students' Success in School: A Principal's Perspective

The principal assesses the success of special programs through student indicators. The principal also uses test scores aggregated to the classroom level to identify teachers who may need additional staff development and to identify situations where the testing may have been done improperly. Parent participation data aggregated to the school level indicate the extent of parent involvement and the most popular individual events for parents. One school goal is to increase parent participation in multiple events. Seventy-two percent of parents participate in at least one activity, while 20 percent are involved in at least four events.

In a study of schoolwide projects, this school was unique among those visited in its use of multiple measures of student performance to assess individual students, special programs, and whole-school efforts. The school demonstrates how principals can use multiple measures of student performance to enhance school-level decision making.

particular racial or ethnic groups. In developing a test, publishers select a small group of items that will combine to produce a bell-curve distribution of a nationally representative group of students at a given grade level. Thus these tests give their users a reasonably good snapshot of the performance of individuals, classes, or schools in comparison with the norm—for the particular skills and content assessed.

Test scores are part of Chapter 1 needs assessment at the level of individual students or whole local programs. They are also the primary means of meeting the new statutory mandate to measure Chapter 1 students' progress in the regular school program (see exhibit 4-2). Thus it is useful to ask about their correspondence with important instructional goals. In fact, because commercial achievement tests are designed to be relatively independent of particular curricula or instructional practices, their content is unlikely to be a perfect match for the academic goals of a particular teacher, school, district, or state. As a result, their usefulness in providing the specific feedback on student performance that can shape instructional decisions is limited. Furthermore, recent criticisms of standardized norm-referenced tests hold that these tests inappropriately narrow the focus of curriculum and instruction. A paper written for the Independent Review Panel (Turnbull 1991) summarizes this critique:

> ***For example, subjects that are not regularly tested, such as science or geography, are often displaced from the curriculum by heavy doses of the subjects that are tested, such as reading and mathematics (Darling-Hammond and Wise 1985; Haertel 1989). In addition to this narrowing of content, schools respond to testing by narrowing the range of skills that they teach (Haertel 1989; Shepard 1991). Rather than teaching students how to structure and solve large, messy problems like those found in the real world, curriculum and***

Exhibit 4-2
Methods for Assessing Chapter 1 Students' Performance in the Regular Classroom, School Year 1990–91

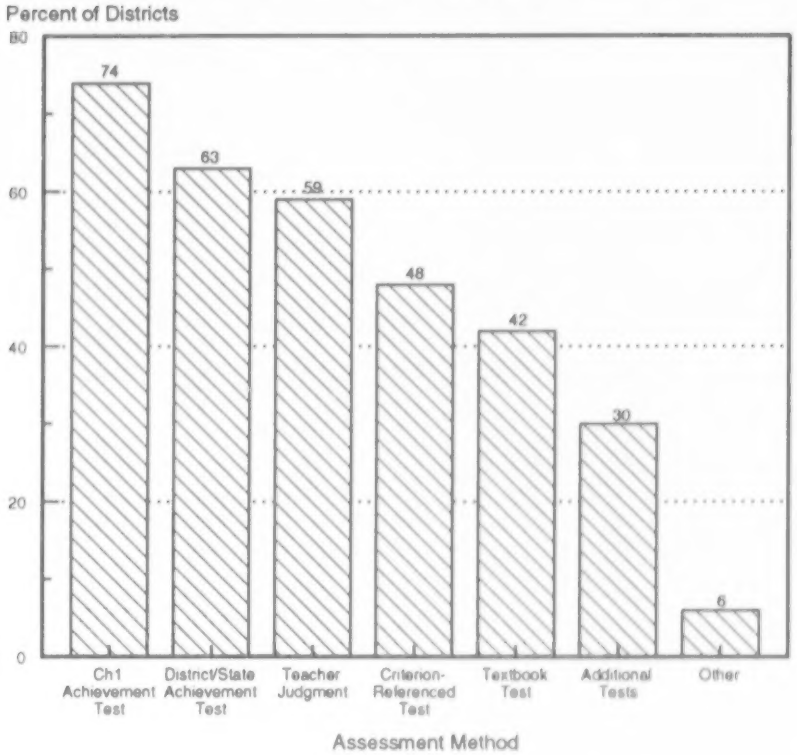


Exhibit reads: Most district Chapter 1 coordinators assess Chapter 1 students' performance in the regular school program using the same achievement tests as for the Chapter 1 program.

Notes: Adds to more than 100% due to multiple responses.

Source: Chapter 1 Implementation Study, Abt Associates, 1992.

***instruction increasingly focus on tasks like those found on multiple-choice tests* (Koretz 1988).**

Furthermore, when the average scores of schools trigger rewards or sanctions (perhaps including the relatively mild sanction of identification for Chapter 1 program improvement), some educators will respond by teaching to the test in a specific way, such as "giving students extensive practice with the kinds of questions that appear on the test in precisely the same format as found on the test" (Shepard 1991). This kind of coaching does not yield genuine increases in student learning, as is demonstrated by the fact that students score noticeably lower on tests for which their schools have not directly prepared them (Linn et al. 1990; Koretz et al. 1991).

The effects of high-stakes testing on the overall instructional programs of high-poverty schools are evident in findings of Academic Challenge for the Children of Poverty (Knapp et al. 1992a). Within that study's small sample, one district gave considerable weight to the outcomes of tests that emphasized basic skills—even basing a portion of principals' salaries on student scores. Instruction in that district focused more heavily on basic skills than did instruction in the other five districts.

Many policymakers and measurement professionals are concerned that tests oriented to basic skills do not encourage high-level student performance. An emerging consensus supports the idea that assessment systems should hold students and schools accountable for more complex thinking in academic subjects—the type of thinking that is least well measured by existing nationally available tests. In the belief that alternative types of student assessment will give schools incentives for more academically challenging curriculum and instruction, many states are at work on the development of new assessments. California, Connecticut, Kentucky, New York, Hawaii, Vermont, and Alaska are among the states developing alternatives that include

open-ended questions, portfolios, hands-on performance assessments, and projects. Among the most ambitious efforts are Vermont's use of student portfolios to assess mathematics and writing, New York's hands-on test in science for fourth graders, and Connecticut's performance assessment in science and mathematics.

These states and others engaged in similar work expect that the new assessments will influence instruction and curriculum in line with state policy. In Chapter 1, however, they must adhere to the requirement for using nationally normed tests. In effect, Chapter 1 participants in these states, unlike their classmates, are subject to separate performance standards represented by the nationally normed tests.

Tests and Program Improvement

Issues in the use of NCE gains to select schools for program improvement have been discussed in the previous section of this report. Briefly, they include concerns about the year-to-year instability of this measure—(1) that a school identified on the basis of one year's scores has about a 50-50 chance of escaping identification in the following year, before carrying out an improvement plan, and (2) that gains, rather than absolute achievement, are the proper focus for the system. Overall, the test-based system of identifying schools for program improvement has limited credibility, according to survey responses from the states, districts, and schools discussed in that section. Similar criticisms apply to the use of NCEs as the basis for identifying individual students in need of program improvement.

Tests and Student Selection

Another issue arises in connection with the use of tests for student selection in Chapter 1 programs serving the primary

grades. Experts in early childhood education have raised several objections to the use of tests with young children (Meisels 1987). They argue that test scores are invalid for children in the primary grades because, among other reasons, children have unpredictable rates of cognitive growth and may react poorly to the testing situation.

While the U.S. Department of Education discourages exclusive reliance on testing for student selection, the National Association of Early Childhood Specialists in State Departments of Education has argued that this practice persists (1991). The group recommends instead that children below the fourth grade should receive Chapter 1 services only when several measures, obtained in different situations at different times, suggest a need.

Achievement Testing and Local Resource Allocation

The role that achievement testing plays in Chapter 1 resource allocation is complicated and may give cause for concern. A school becomes eligible for Chapter 1 services on the basis of the number of children in low-income families in its attendance area. However, once a district has chosen its roster of participating schools on the basis of poverty, it goes on to allocate dollars to schools on a different basis. By law, Chapter 1 funds to schools or project areas are to be allocated in accordance with the number and needs of children to be served—as determined through the local needs assessment, which is largely based on student testing.

Thus the schools that do the best job of raising student achievement will find that their funds diminish over time. This effect is postponed by a provision in the law that permits a school to receive funds for two additional years for each student who graduates out of Chapter 1 because of improved academic achievement. The effect may also be mitigated by districts' use of "innovation project" funds, which may be directed to successful

Chapter 1 schools. Nevertheless, the requirement for allocating funds on the basis of the number and needs of Chapter 1 participants contains an implicit disincentive for improved performance. As suggested in the quotation from Jaime Escalante at the beginning of this section, this disincentive can frustrate local educators, even if it never has the drastic effect of encouraging a ceiling on their ambitions for student achievement.

National Aggregation of Test Data

Finally, the aim of having useful nationally aggregated data on student performance—which helps perpetuate the use of nationally normed achievement tests in Chapter 1—is not being fully realized under the current law. The foundation of the TIERS system is the work of local program evaluators, who are to collect matched pretest and posttest scores on each Chapter 1 participant over a one-year period and use these to calculate gain scores. The responses to a national survey reveal many gaps in the implementation of this requirement (Millsap et al. 1992b). The survey asked Chapter 1 coordinators to report district Chapter 1 enrollments for grades 2–12, along with pretest and matched pre- and posttest information for participants:

- In 38 percent of districts, the coordinators made the implausible assertion that they had matched pre- and posttest data in reading for all students. It seems hard to believe that over 4,500 districts successfully tracked every participating student. Rather, it seems likely that most coordinators recorded only the number of students for whom they had complete information.

- Another 20 percent of coordinators gave responses indicating that they did not understand the question. For example, some reported that the number of students with matched pre- and posttest scores exceeded the number pretested. (These respondents were presumably

reporting the total number of posttests, not matched cases.)

- Another 11 percent provided no pretest or matched data in reading, and 13 percent provided none in mathematics (although they offered Chapter 1 instruction in mathematics).

- Many coordinators reported that answering these questions required several hours of data compilation.

These survey findings lead to two conclusions about TIERS. First, many districts exercise little or no quality control over the data they report. A plausible inference is that many districts do not match individual students' scores but instead report all their scores from one year to the next, calculating NCE gains for an aggregate of the students tested rather than for individuals with matched scores. Second, district coordinators apparently make little use of the data because they report that they do not have the data readily at hand and they obviously tolerate implausible numbers.

Weaknesses are readily apparent in the performance reports transmitted by states to the Department of Education. Several states show astonishingly high student gains; some mean pretest scores are too high to be consistent with targeting on low achievement; several states report test data from only a few participants. These inconsistencies suggest that the states, like districts, make little use of the TIERS data.

Nationally, TIERS falls well short of testing all participants. As Anderson (1991) notes, the students for whom states reported pre- and posttest scores represented fewer than two-thirds of the Chapter 1 reading and mathematics students at their grades. The students who weren't followed up probably differ from their classmates in systematic ways, such as by moving more often.

On the basis of his work with district and state evaluators, Estes (1992) observes that the lack of uniform procedures for administering tests detracts from the national comparability of TIERS data:

> ***For example, the degree to which test administration conforms to norm dates varies; test-taking skills training is provided in some programs, but not others; the degree to which a test with fixed items and correct responses is used repeatedly in a school can skew performance and distort comparisons with a norm group; and differential application of quality control procedures—matching pre-post scores, including only students who participated in the program, using separate selection and pretest scores—can all detract from having comparable data.***

Since the 1970s, analysts have observed that collecting and summarizing test scores on a massive scale is a singularly inefficient way of gauging overall program success (Barnes and Ginsburg 1979). Moreover, the TIERS data do not meet all congressional needs for information on program performance. Evidence for this conclusion is the fact that Congress continues to mandate special studies of the outcomes associated with Chapter 1 participation. Studies like the Prospects Longitudinal Study, which can use comparison groups and can address specific policy questions, remain necessary supplements to whatever policy information TIERS is providing.

Alternative Views on Assessment

All these issues combine to underscore two questions: Is it sensible to rely on a single type of test to serve so many purposes in Chapter 1? And do the available standardized norm-referenced tests match the program's intent of bringing participating students to high levels of academic performance?

The principles of student assessment advanced by the National Council on Education Standards and Testing stand in contrast to current practice in Chapter 1 assessment. In a report to Congress, the Secretary of Education, the National Education Goals Panel, and the American people, this council outlined a very different vision for realizing "high national standards tied to assessments." The standards and assessments would be national, not federal; participation would be voluntary. However, they would reflect a broad effort to spell out concrete expectations for student performance and to embody these expectations in assessments that could and would be used for high-stakes purposes. A critical element of the council's report is the close connection between assessment and the frameworks for educational programs, such as state content standards.

The council recommends the development of assessments suitable for the following purposes: exemplifying what students should know and be able to do; improving instruction; informing students, parents, and teachers about student progress; measuring performance at the student, school, district, state, and national levels; and informing policy decisions about programs. The council cautions that no one assessment is likely to serve all these purposes well. Thus it emphasizes the need for a system of assessments rather than a single national test.

Other work under way on content standards and assessments could provide a further basis for reconsidering Chapter 1 assessment. The U.S. Department of Education is supporting the

development of world-class standards in a number of subjects. Mathematics teachers are learning the new standards developed through a consensus-building effort by the National Council of Teachers of Mathematics. The National Academy of Sciences is coordinating an effort in science, which will involve scholarly and professional organizations including the American Association for the Advancement of Science and the National Science Teachers Association. Along with the National Endowment for the Humanities, the Department of Education is supporting a similar effort in history coordinated by the National Center on History at the University of California, Los Angeles.

Chapter 1 Advisory Committee on Testing

As part of its response to the 1992 National Assessment of Chapter 1 Act, the U.S. Department of Education has established a 15-member advisory committee on testing in the Chapter 1 program to help the Secretary assess the "adequacy of standardized tests" in Chapter 1. The committee will comprehensively examine the standardized tests now being used and will advise the Secretary on possible improvements or alternatives for current testing procedures. These recommendations may include possible changes in test instrumentation, test administration, and the reporting of results at the state and local levels.

In addition, the advisory group will make recommendations to the Secretary in connection with his charge under the Chapter 1 statute to develop national standards for the evaluation of local Chapter 1 programs. The statute permits the Secretary to use TIERS as a model for meeting the current requirements for aggregate reporting to Congress; several problems associated with this model have been discussed here. The advisory group will explore possible improvements or alternatives and will provide guidance on developing national standards that could permit the measurement of aggregate program impact without depending

so heavily on norm-referenced testing. The committee will also recommend to the Secretary regulatory or legislative changes that would allow an alternative assessment procedure to provide information about the bases on which schools, districts, and states can be held accountable for student performance. Such alternatives should also permit national aggregation of student performance measures.

During its first meeting on April 30 and May 1, 1992, the committee proposed the following principles to guide its recommendations:

- Chapter 1 appraisal should be informed by national standards; there should be no dual standard.
- Testing should be a part of Chapter 1 instruction. It should be a clear enhancement, not an impediment, to instruction.
- Recommendations should enhance the professionalism of teachers, being mindful of how previous reforms have replaced teachers' professional judgments.
- Recommendations should be practical; they should not burden local administrators further or encourage more meaningless work and unnecessary costs.
- Chapter 1 should illustrate the best educational procedures to the nation.

The committee will transmit its final report to the Secretary no later than December 1992. Its findings and recommendations will be included as part of the final report to Congress from this National Assessment of Chapter 1.

In addition, the committee has commissioned papers on the following topics and issues:

- National standards: How much progress have the states and the nation made toward achieving the standards?
- Chapter 1 screening and identification issues and devices: Where does testing fit in? Are screening and diagnosis different processes? Can they be accomplished by the same tools?
- Diagnosis and instructional testing and procedures: What is available? How is it used? What is being developed?
- How do we appraise educational service delivery, especially as it concerns Chapter 1? What are the elements of Chapter 1 service delivery? What do we know? What do we need to know?
- What current accountability components at the state, local, and national levels provide data that can be aggregated?

The final report to Congress will address the issues associated with the possible use of Chapter 1 assessment to reinforce high standards for student performance, alternatives to the national aggregation of test scores, and the development and implementation of alternative assessment procedures.

Section Five

Schoolwide Projects

We have created a whole new incentive system for how teachers and schools deal with Chapter 1 students. It's difficult to get folks away from pulling kids out and doing their own thing when that's what they've done for years and it's O.K. In our staff development, we try to emphasize collaboration and co-teaching models and make sure principals and teachers understand this concept of 'teacher of record' where the teacher who's providing the reading instruction is responsible for monitoring, grading, testing, and assisting that youngster in reading.... Same thing for math.

—Philadelphia schoolwide project site manager

Schoolwide projects are the fastest-growing category of Chapter 1 services, enabling schools to use Chapter 1 funds in a way that can benefit all students in the school.

- Although schools with schoolwide projects represent only 4 percent of all Chapter 1 schools, their number increased by 233 percent between the 1989–90 and 1991–92 school years.

- Despite this increase, only a quarter to a third of eligible schools (those with 75 percent or more students in poverty) have adopted the schoolwide project model.

- Some 45 percent of the principals in schools that are eligible for Chapter 1 schoolwide project status were unaware of the schoolwide project option.

The flexibility provided by schoolwide projects—enabling Chapter 1 funds to serve all students—was designed to promote fundamental instructional reform for concentrations of poor children in an entire school.

- Although some schools report that they have adopted new instructional strategies and have improved student achievement as a result of their schoolwide project efforts, most principals and district personnel report that they have used the opportunity to make more immediate and incremental school management changes, such as reducing class size.

- About 84 percent of principals that have operated schoolwide projects for three years report that most evidence favors the schoolwide project. The evaluation evidence in support of schoolwide projects, based on norm-referenced test scores, is generally favorable but reflects the situation only for the limited number of schools that have operated schoolwide projects for three years and have conducted an evaluation of project effects.

Background

A district may carry out a schoolwide project (1) in any school that serves an attendance area which is eligible to receive Chapter 1 services and in which, for the first year of a three-year project period, at least 75 percent of the children are from low-income families; or (2) in any eligible school in which at least 75 percent of the children enrolled in the school are from low-income families. Unlike most Chapter 1 projects, a schoolwide project includes activities designed to improve the overall instructional program in the school, not merely the activities that supplement instruction that would otherwise be paid for with nonfederal funds. In designing the schoolwide project, the district must ensure that the project is of sufficient size, scope, and quality to meet the educational needs of all children in the school, especially the educationally disadvantaged children.

Congress authorized schoolwide projects out of a belief that in schools heavily impacted by poverty it made little sense to enforce requirements that the Chapter 1 program serve only Chapter 1 children or that Chapter 1 services only be supplemental. The research had shown that the poverty of the school exerted an independent effect on student performance, separate from that of the student's own family background—and this finding remains true today (see exhibit 5-1). Rather, Congress believed it was a sounder educational practice to plan a curriculum focusing on the entire educational program in high-poverty schools. Thus, schoolwide projects were devised as an alternative to traditional Chapter 1 pull-out sessions or in-class models in high-poverty schools.

Since 1978, schoolwide projects have been allowed in the Chapter 1 program for schools with a schoolwide poverty rate of 75 percent or more. However, prior to enactment of the Hawkins-Stafford Amendments in 1988, few eligible schools took

Exhibit 5-1
Average Test Scores, by School Poverty Level and Parental SES Quartile

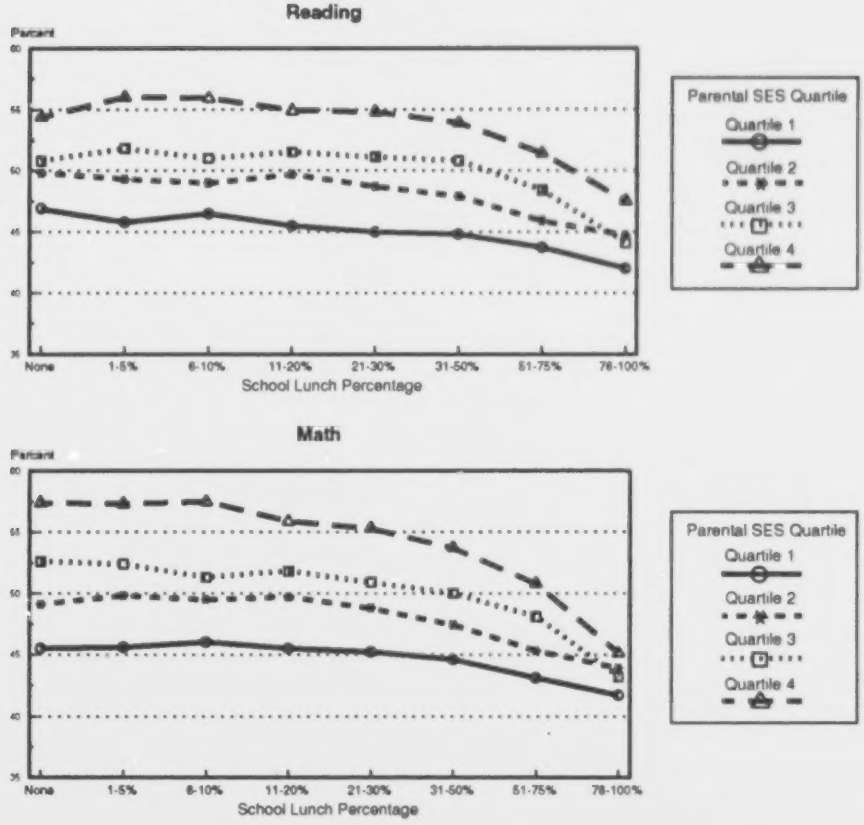


Exhibit reads: In the poorest schools, half of all eighth-grade students scored in the lowest quartiles in reading and math, and four out of every five students scored below average.

Source: J. Anderson, "Poverty and Achievement: Re-Examining the Relationship Between School Poverty and Student Achievement." Paper presented at the annual meeting of the American Educational Research Association, 1992.

advantage of the option because LEAs were required to provide a matching contribution for every child in the schoolwide project school who did not meet Chapter 1 eligibility criteria.

After considerable discussion, Congress retained the 75 percent poverty threshold requirement for schoolwide projects, viewing the estimated 7,000 schools eligible to participate as "an adequate number to test the validity of the schoolwide concept." Although many of the schoolwide project activities articulated in the law do not require fundamental instructional reform (reducing class size, training parents, implementing extended school-day programs), the congressional intent of schoolwide projects was to use Chapter 1 to "move toward total educational reform of the school program." Indeed, Congress encouraged the use of the effective schools model, citing the characteristics from educational research on such schools: strong leadership at the school level, high expectations (no child will fall below minimum levels of achievement), an orderly school atmosphere conducive to learning and teaching, students' acquisition of basic and higher-order skills taking precedence over all other school activities, and frequent and consistent evaluation of student progress (Committee on Education and Labor 1987).

To ensure that schoolwide projects were directed at improving the achievement of Chapter 1 children as opposed to providing general aid, Congress added accountability requirements to the law. The amendments limit schoolwide projects to three years unless those students who would qualify for Chapter 1 services under a conventional design perform at a level higher than that at other Chapter 1 schools or higher than the level the school experienced before it became a schoolwide project. Gains must be compared for each instructional area addressed by the Chapter 1 program for the comparison group. The law also prescribes a process of planning and consultation among parents, teachers, and administrators.

Participation

Schoolwide projects are serving students who are very poor and very educationally disadvantaged. According to a survey of principals that operate schoolwide projects, the poverty level of their schools averages 85 percent (typically based on eligibility for free/reduced-price lunches). Sixty-nine percent of the students in these schools are considered to be educationally deprived (Schenck 1992).

More and more eligible schools are taking advantage of the schoolwide project opportunity. In the 1989–90 school year, there were 621 schoolwide projects in 202 districts in 40 states (Turnbull et al. 1990). The number of schoolwide projects rose, increasing to 1,362 schools in 1990–91 (Millsap et al. 1992b), and to 2,069 schools in 1991–92 (Schenck 1992). But despite the increase in schoolwide projects, only about one-quarter to one-third of the eligible schools (depending on the definition for eligibility) have such projects (see exhibit 5-2).

In terms of the distribution of schools operating as schoolwide projects, more than half (57 percent) are in urban areas, 23 percent are in rural areas, 12 percent in small towns or communities, and 8 percent in suburban areas (Schenck 1992). Most schoolwide projects are in elementary schools.

The Chapter 1 Implementation Study provides some insight into the low participation rate. Forty-five percent of principals who indicated that the poverty level of their school had ever been at least 75 percent, making the school eligible for a schoolwide project, were unfamiliar with the schoolwide project option. Of the 55 percent of school principals who reported that they were familiar with the schoolwide project option, about 30 percent operated schoolwide projects and 58 percent reported they were considering the option (Millsap and Moss 1992).

Exhibit 5-2
Growth in Schoolwide Projects, 1989–90 to 1991–92

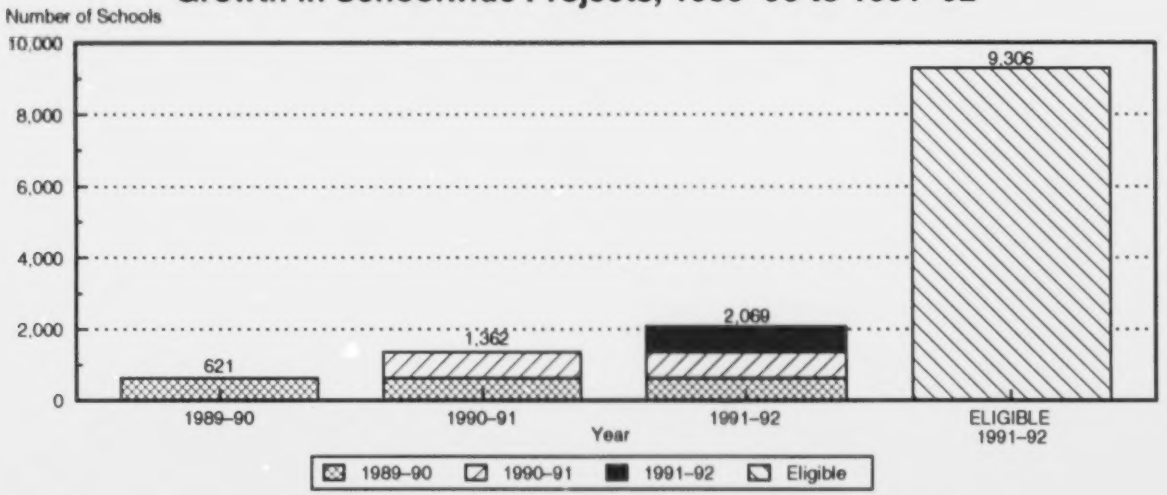


Exhibit reads: Since Congress dropped the matching requirement for schoolwide projects in the Hawkins-Stafford Amendments, the number of these projects has tripled. Depending on the definition of poverty used, between one-quarter and one-third of eligible schools are participating in Chapter 1 as a schoolwide project.

Note: Estimates of schools eligible for schoolwide project status range from 7,085 to 9,306 depending on the definition of school poverty used. The higher figure represents eligibility as defined by principals reporting that at least 75% of students in their schools are eligible for free or reduced-price lunches.

Sources: Chapter 1 Implementation Study, Abt Associates, 1992; State Survey and Follow-Up State Survey, Policy Studies Associates, 1992; Schoolwide Survey, RMC, 1992.

The percentage of eligible schools that operate schoolwide projects varies considerably by state, suggesting that the endorsement by personnel at the district and state levels of the schoolwide project concept seems to exert a strong influence on schoolwide project participation rates. Exhibit 5-3 presents the number of schoolwide projects versus the number of eligible schools by state. Both Tennessee and Utah have a 100 percent participation rate of eligible schools in the schoolwide project option. Pennsylvania, New Mexico, Minnesota, and Massachusetts are not far behind. In those states with large numbers of eligible schools (California, Texas, Mississippi, and New York), about one-third of the schools are participating in the schoolwide option (Compensatory Education Programs 1992).

In the 1990–91 school year, just 28 percent of those districts that had eligible schools but received no encouragement from the SEA had schoolwide projects, compared with 65 percent among the districts whose SEAs encouraged the option (Millsap et al. 1992b). Among 28 states where fewer than half of eligible schools have schoolwide projects, 14 of the SEAs provided workshops specifically on the schoolwide option; in 12 states where more than half of all eligible schools had schoolwide projects, 11 did so. In the three states where all eligible schools are schoolwide projects, SEA staff have conducted special workshops explicitly for the eligible schools; in one of these states, the SEA also provides staff development activities for the 112 eligible schools.

District policies also heavily influence participation in schoolwide projects. The Philadelphia school district, under the strong leadership of its superintendent, began schoolwide projects in the 1986–87 school year as part of a larger reform effort targeted on the neediest schools. In that year, 11 schools were designated as schoolwide projects, and the district paid the matching share for noneligible students. When the federal Chapter 1 guidelines were changed in 1988 to drop the matching funds requirement, the district rapidly expanded the number of schoolwide projects.

Exhibit 5-3
Implementation of New Regulations, Schoolwide Projects School Year 1991–92

State	Number of Schoolwide Projects	Number of Eligible Schools	Percent of Eligible Schools with Schoolwide Projects	Average of Top or Bottom 14 States
California	295	905	33	
Texas	247	813	30	
Mississippi	139	310	45	
Tennessee	134	134	100	
Florida	133	230	58	
New York	121	396	31	41.69%
Pennsylvania	112	118	95	
Kentucky	80	153	52	
Massachusetts	75	85	88	
BIA*	71	167	43	
Michigan	71	150	47	
Alabama	66	198	33	
North Carolina	63	114	55	
Ohio	60	226	27	
New Mexico	39	42	93	
Georgia	38	110	35	
Arizona	36	150	24	
Arkansas	35	79	44	
South Carolina	34	200	17	
Maryland	28	52	54	

(continued)

Exhibit 5-3 (continued)
Implementation of New Regulations, Schoolwide Projects
School Year 1991–92

State	Number of Schoolwide Projects	Number of Eligible Schools	Percent of Eligible Schools with Schoolwide Projects	Average of Top or Bottom 14 States
Illinois	24	159	15	
West Virginia	21	54	39	
Missouri	20	62	32	
New Jersey	16	75	21	
DC	16	56	29	
Louisiana	15	203	7	
Wisconsin	15	25	60	
South Dakota	12	43	28	
Utah	12	12	100	
Oregon	10	20	50	
Virginia	9	147	6	
Alaska	9	75	12	
Minnesota	9	10	90	
Puerto Rico	8	1268	1	

(continued)

Exhibit 5-3 (continued)
Implementation of New Regulations, Schoolwide Projects
School Year 1991–92

State	Number of Schoolwide Projects	Number of Eligible Schools	Percent of Eligible Schools with Schoolwide Projects	Average of Top or Bottom 14 States
Kansas	8	22	36	
Indiana	7	33	21	
Oklahoma	6	75	8	
Washington	3	47	6	
Idaho	3	8	38	
Rhode Island	3	7	43	13.93%
Colorado	2	11	18	
North Dakota	1	8	13	
Iowa	1	4	25	
Montana	0	10		
Connecticut	0	9		
Wyoming	0	5		
Nebraska	0	3		
Maine	0	2		
Delaware	0	0		
Vermont	0	0		
Hawaii	0	0		
New Hampshire	0	0		
Nevada	0	0		
Total	2,107	7,085	30%	

*Bureau of Indian Affairs

Approximately half of the elementary schools in the Philadelphia school district are now schoolwide projects (Winfield and Stringfield 1991).

As their rapid proliferation would indicate, schoolwide projects are a popular way to deliver Chapter 1 services. Some 55 percent of principals and 41 percent of district coordinators identified no disadvantages with schoolwide projects. When disadvantages were cited by principals operating schoolwide projects, the disadvantages included additional paperwork (12 percent), added time for planning, evaluation, and teacher preparation (8 percent), the belief that Chapter 1 children receive fewer services (4 percent), and limited funding (4 percent) (Schenck 1992).

Scope of Activities

The schoolwide project provisions in the Hawkins-Stafford Amendments give Chapter 1 schools the opportunity to undertake fundamental educational change through effective schools programs, as well as encouraging schools to reduce class size and to extend the school day. Data from the 1989–90 school year, the first one affected by the removal of the matching requirement, suggest that schools approached these opportunities tentatively. According to state Chapter 1 coordinators, 79 percent of schoolwide projects reduced class size as the main feature of the project, while 62 percent incorporated components of effective schools programs (see exhibit 5-4). Seven percent used an extended-day model for their schoolwide projects (Turnbull et al. 1990). Exhibit 5-5 presents characteristics of well-implemented schoolwide projects as distilled from

Exhibit 5-4
Features Included in Schoolwide Projects, as Reported by State Education Agency (SEA) Coordinators,1989–90

Feature	Number of State Coordinators Reporting	Number of Projects Responding	Percent of All Projects in States
Reductions in class size	42	329	79%
Effective schools programs	40	253	62%
An extended school day	37	26	7%

Exhibit reads: In the 42 states reporting that they had schoolwide projects, 79 percent said their project included a reduction in class size.

Source: State Survey 1990.

Exhibit 5-5
Characteristics of Well-Implemented Schoolwide Projects

Although our data base is limited, our sample indicates that the better implemented schoolwide projects have the following characteristics:

- The principal has a vision of what the school should be accomplishing. Included in the vision are these common goals:
  - To develop a learning environment that demands excellence by holding high expectations for all students and by maintaining that all children can succeed.
  - To build a sense of self-confidence and individual responsibility in children, by attending to the social as well as the instructional needs of children.
  - To focus instruction on prevention of problems, not remediation.
  - To help parents help their children to learn and to give parents an increasing role in assuring the quality of school and teachers.
- The principal is seen as an instructional leader and strong manager. Relations between the principal and teachers are characterized by mutual respect.
- Teachers are experienced, dedicated, and sympathetic to needs of the community.
- Educational decisions, including some decisions about the allocation of resources, are made at the school level.
- Professional support is available to meet the social and emotional needs of children.
- The school has both academic year and extended-year components.
- The school emphasizes strong parental involvement and usually has a paid community liaison person.

Source: Millsap in Stringfield et al. 1992.

preliminary findings from the Study of Special Strategies for Educationally Disadvantaged Children (Stringfield et al. 1992).

Data from principals operating schoolwide projects in the 1991–92 school year, three years after the matching requirement was dropped, provide insight into the reasons reported by principals for establishing schoolwide projects and, once the project was established, the perceived advantages of the service configuration. The main reasons for establishing a schoolwide project were to have more flexibility in service delivery or instructional groupings (86 percent), to coordinate the Chapter 1 program better with the total school program (57 percent), and to allow more discretion in the use of Chapter 1 funds (46 percent). However, when principals were asked what they perceived to be the main advantages of a schoolwide project, their top responses were to serve more students, to meet students' needs, and to reduce class size (see exhibit 5-6). District coordinators' top responses also appear to be school management changes: to serve more students, to improve the scheduling of services, and to make better use of materials and equipment (Schenck 1992). In neither the reasons for establishing schoolwide projects nor the advantages of operating schoolwide projects was basic instructional reform or improvement of student outcomes cited as a top factor; rather, administrative convenience factors took precedence.

In the Philadelphia schoolwide projects, reduced class size was a popular reform. In 66 percent of schoolwide project sites, class size in the primary grades was reduced, and most principals said that if they had additional Chapter 1 funds, they would invest a major portion in hiring additional teachers to reduce class size (Winfield and Hawkins 1992).

Reducing class size as a major reform effort is troubling. As stated by Tomlinson (1988):

Exhibit 5-6
Advantages of Schoolwide Projects, as Reported by Principals

Advantages	Percent
Permits schools to serve more students	35
Makes it easier to meet needs	31
Reduces class size	31
Improves use of materials/equipment	26
Improves scheduling of services	25
Makes more resources available	24
Permits different teaching strategies	20
Permits more professional development	20
Permits flexibility in staffing	19
Improves coordination	18

Exhibit reads: Principals of schoolwide projects listed serving more students, meeting students' needs, and smaller class size as the top three advantages of operating these projects.

Source: Schenck 1992.

Evidence to date, from research and practice, does not generally support a policy of limiting class size in order to raise student achievement or to improve the quality of worklife for teachers; nor does it justify small reductions in pupil/teacher ratios or class size in order to enhance student achievement. Research also fails to support school policies designed to lower class size if these do not first specify which pupils will benefit and how and why they will do so....To the extent that learning depends on instructional quality, improved teacher competence will also raise student achievement.

Indeed, as is discussed in section 6, when teachers are trained in and employ alternative instructional practices that emphasize understanding for meaning, students at risk of academic failure do better than their counterparts taught through conventional practice (Knapp et al. 1992a,b).

Concern has been expressed at the state and local levels that schoolwide projects may dilute the resources available to low-achievers. One Chapter 1 coordinator argued that his district should plan and use the option more carefully, rather than investing in additional personnel to reduce class size for the regular school program: "Reduced class size gets the big bucks. We should be moving the focus from a lower student/teacher ratio to site-based management, computer-assisted instruction, and technology-based education" (quoted in Millsap et al. 1992b).

Concern has also been expressed about the continued offering of Chapter 1 services that are distinguishable from the regular instructional program since a Chapter 1 schoolwide project is supposed to be indistinguishable from the regular program. Some 40 percent of principals operating schoolwide projects indicated

that their schools provided Chapter 1 services that were distinguishable from services for all children. Of this group, 43 percent indicated offering additional instruction, 33 percent reported offering a different service delivery model, and 30 percent reported using additional personnel. Another 12 percent reported using a pull-out model for Chapter 1 children (Schenck 1992). Depending on the type of distinguishable services, it may or may not be an appropriate enterprise for a schoolwide project. Clearly, "schoolwide projects should not look exactly like Chapter 1 projects; when schoolwide projects are so designed, there is reason to believe that the concept is not understood" (Fagan and Martinez 1991).

Two vignettes of schoolwide projects present a glimpse of the kinds of changes undertaken by these schools when provided the opportunity to become a schoolwide project (see exhibits 5-7 and 5-8). A mixture of both school management and instructional reforms were introduced in these schools.

Changes in Districtwide Resource Allocation

Principals of schoolwide projects and district coordinators believe that districts are giving schools that operate schoolwide projects more funds, technical assistance, and staff development (Schenck 1992).

- *More targeting of Chapter 1 program funds on schoolwide projects.* Sixty-five percent of district staff reported that increases in Chapter 1 funds for the district have gone to the schools with schoolwide

Exhibit 5-7
Chapter 1 Schoolwide Project Joined with Other Resources to Make a Difference

In an urban area, the community became concerned because no predominantly African-American school in the district had ever reached an aggregate achievement level of the 50th percentile. In response, the district undertook a five-year effort combining Chapter 1 funds (as a schoolwide project) with state desegregation and foundation funding to turn the 10 lowest performing schools around. In most schools, such as one elementary school, where 90 percent of the 1,100 students are on free/reduced-price lunch, another major goal is to teach students to assume responsibility for their own actions.

This particular school, like the others in the program, has now reduced its class size (20 students per teacher in grades K–2), has hired an aide for every classroom, provides 15 days of staff development annually for each teacher, has extended the school year by 20 days, and has hired supplemental professional staff (including a counselor, psychologist, instructional coordinator, and bilingual coordinator). All faculty (and the principal) were interviewed for their positions and were required to make a five-year commitment to the school before they were hired. Staff turnover has been minor, as teachers take the five-year commitment seriously.

A study found that the school's principal is seen as an instructional leader and strong manager who sets high standards and encourages teacher initiative. The teaching staff's excellence, commitment, and cohesion also were noted as reasons for the school's success. As one teacher said: "It is my responsibility. I grew up very poor. I would feel awful if I did not do everything I could possibly do so children could learn....This school is my family."

(continued)

Exhibit 5-7 (continued)
Chapter 1 Schoolwide Project Joined with Other Resources to Make a Difference

School staff have sought to make the school a community school for students and their parents. Activities for parents include classroom and campus volunteering, food and clothing drives, biweekly home visits with some families, and monthly parent education meetings. Five of 13 members of the school's Shared Decision Making Council are parents. The school has a full-time community liaison employee and several campus aides. Over the past five years, the proportion of students moving into and out of the school has dropped from 73 percent to 46 percent.

Each year since the project began, all grades have shown increases in achievement, with the first- and second-graders now achieving at well above the 60th percentile in mathematics. First-graders' achievement in reading surpasses the 50th percentile, and the second-graders are not far behind. The continued academic growth is a source of pride for the school and its community. As the instructional coordinator said: "Nobody can tell me that these kids can't learn. We've done it!"

Exhibit 5-8
Chapter 1 Schoolwide Project as a Laboratory for Change

When the Chapter 1 regulations on schoolwide projects were released, district staff in a large northern city saw that schoolwide projects could serve as a laboratory for trying everything they had learned from the literature about effective schools. It was a chance to "shake up the program" and to improve student-teacher ratios, the curriculum, and student morale.

Because of the financial investment needed, the district started with only one of the three eligible schoolwide projects. The elementary school selected was the one with greatest need: an enrollment of 1,000 students, 98 percent of whom received free/reduced-price lunches, no playground, poor physical facilities, and a bad reputation.

A well-regarded assistant principal in the district was hired as the new principal to implement the schoolwide project and school-based management. His managerial style stresses teacher initiative and cooperative decision making. Teachers are encouraged to propose anything they would like to do; their ideas have included cooperative learning, spending an entire school day focusing on literacy skills, and creating writing portfolios.

Reduced class size was the most obvious change under the schoolwide project; the pupil-to-teacher ratio now is 14-to-1 for grades 1–3 and 20-to-1 for grades 4–6. Kindergarten classes are capped at 14 students, and provisions exist to add an assistant if that number is exceeded. The school added a full-time science teacher and a Macintosh computer lab. Staff development is a key component, and teachers can attend virtually any professional development workshop or class they wish. Each student attending the school is guaranteed a place in the building, even if the student moves outside the attendance area (thus decreasing the mobility of the school's population).

(continued)

Exhibit 5-8 (continued)
Chapter 1 Schoolwide Project as a Laboratory for Change

Parental involvement has a special place in this schoolwide project. A parent center—designed by parents for parents, with the support of school staff—is nearing completion. The center is equipped with a television set, a VCR, and a telephone; it also has a play area for toddlers and preschoolers. The center is intended as a place where parents can meet other parents and get ideas and assistance. The parent center will also offer workshops on such subjects as parent-teacher conferences and how to interpret a report card.

Although the school plant is decrepit, the school has a vitality and an excitement that are hard to miss. As the principal said: "To feel like you've got something special makes all the difference in the world."

projects, while Chapter 1 services in other schools have remained the same; 30 percent reported no change in funding since schoolwide projects began.

- *Increased site visits and technical assistance.* Fifty-five percent of district coordinators in districts with schoolwide projects reported providing more technical assistance to schoolwide projects, while 43 percent reported no difference. School principals' responses were similar; half of the principals operating schoolwide projects reported that district Chapter 1 staff visit their schools more frequently, and 61 percent of those principals reported that the district staff provide more technical assistance to their school.

- *Additional staff development.* When asked about the difference between staff development activities in schoolwide project schools and in other Chapter 1 schools, 55 percent of the district coordinators with schoolwide projects reported that more hours are devoted to staff development in schoolwide project schools, and 69 percent said that staff development in schoolwide project schools is more likely to include all teachers.

When asked to quantify how many hours of staff development the typical teacher in their school received (including staff development during the summer), principals of schools with schoolwide projects estimated 29 hours. According to data from the Chapter 1 Implementation Study, principals in Chapter 1 schools estimated staff development hours per teacher at 23 hours (Millsap and Moss 1992).

Accountability Results

In terms of assessing schoolwide projects, it would be premature to judge their effectiveness because so few projects meet the three-year accountability requirement. In addition, while comparison groups are used to judge effectiveness, warnings raised in the previous section about using norm-referenced tests in assessing program effectiveness must be kept in mind. SEA coordinators report that 199 projects in 22 states comprise the first group of projects following the enactment of Hawkins-Stafford Amendments that should have conducted a three-year evaluation. But only 114 schools have been assessed at the end of three years' participation as a schoolwide project. Approximately 10 percent of these schools failed to show the achievement gains required for continuation as a schoolwide project (Turnbull et al. 1992).

About 84 percent of principals that have operated schoolwide projects for three years report that most evidence favors the schoolwide project. Indeed, 42 percent of this group reported that the evidence increasingly favored the schoolwide project over time, 16 percent reported that the evidence favoring the schoolwide project was about the same each year, and 15 percent reported that the evidence was based only on the last year in the three-year period. A majority of schoolwide projects (60 percent) used as their comparison group Chapter 1 students in the same school for the previous three-year period (Schenck 1992).

Preliminary longitudinal results of outcome data are mixed for students participating in 40 schoolwide projects in the Philadelphia school district between the 1986–87 and 1990–91 school years—compared with students in 20 other Chapter 1 schools close to the eligibility threshold. The test data show no program effect in grade 1. In grade 2, the effect was significantly positive; in grade 3 the effect was significantly negative. In grades

4 and 5, the results were positive but not significantly different from those for the comparison group. The positive gains in grades 4 and 5 met and exceeded the standard, which prompted program evaluators to speculate that the positive gains associated with grades 4 and 5 may suggest a long-term positive effect of attending a schoolwide project school (Winfield and Hawkins 1992).

Issues to Be Examined in the Final Report

This section has attempted to take a preliminary look at whether schoolwide projects engage in fundamental instructional reform as a result of being given broader latitude to serve all children in high-poverty schools. Because most of the issues examined in this interim report rely on survey data for descriptive information, this report presents a broad snapshot of the activities undertaken. In the final report, however, information from intensive case studies and outcome data from both the Special Strategies and the Prospects Longitudinal studies will result in a more comprehensive picture of schoolwide projects, as the performance of children in schoolwide projects can be compared with the performance of children in regular Chapter 1 classes on a range of performance indicators.

Several issues are to be examined:

- What do schoolwide plans include? Are these plans linked with program improvement efforts?

- What instructional strategies do schoolwide projects adopt as part of their reform efforts?
- Were the reform efforts adopted by projects linked to a greater reform strategy at the district, state, or regional level?
- Do students in schoolwide projects outperform students in traditional Chapter 1 classes?
- More generally, is it reasonable to expect educational reform to result from providing school districts with flexibility?
- Should schoolwide projects' effectiveness be measured on the basis of 1992 reform expectations, rather than on the level of reform knowledge in 1988?

Section Six

Higher-Order Thinking Skills

Conventional wisdom holds that low achieving children should proceed at a slower pace in material that is broken down into discrete steps, an approach that is based in reductionist learning theory, prominent several decades ago. When this "slow it down" approach is applied to whole classrooms of low achieving children, there is little possibility that the educational status of any of these learners will improve....In other words, we do not have to look beyond the school for the reasons why low achieving children do not read and write well. The way instruction is organized in schools and the kinds of tasks and texts given to the children limit their access to knowledge and ensure their continued low achievement.

—Anne McGill-Franzen and Richard Allington 1991

The inclusion of higher-order thinking skills, or advanced skills, in the 1988 Hawkins-Stafford Amendments represented a departure from the basic skills orientation of the Chapter 1 program. Today, innovative programs focusing on higher expectations and more challenging instruction are making their way into Chapter 1 classrooms.

This section briefly outlines conventional instructional practices for serving disadvantaged students and describes the uses and impact of alternative paradigms and strategies for offering higher-order thinking skills.

- As noted in the Study of Alternatives to Conventional Wisdom, most remedial and compensatory education programs were designed to provide low-achieving students with additional practice for mastery of basic content knowledge. The curricula taught were grounded in the belief that children learn discrete skills in a hierarchical manner. Indeed, classroom studies have documented that children considered at risk for academic failure receive less instruction in complex skills than their more advantaged counterparts.

- Recent studies indicate that students who are exposed to academically challenging forms of instruction in math, reading, and writing are likely to perform better at the end of the school year than students whose instruction concentrates on basic skills.

- Efforts to integrate more advanced skills into the instruction of disadvantaged students take place both within instructional programs and throughout schools and districts.

- According to district Chapter 1 coordinators, Chapter 1 instruction accounts for only 24 to 30 minutes a day, 5 days a week. Because Chapter 1 represents only a small portion of a student's day, both Chapter 1 and regular teachers need to learn the most effective methods to instruct at-risk students and to promote higher-order thinking skills.

Background

As mentioned in the introduction to this report, the 1988 amendments identify as one purpose of the Chapter 1 program the improvement of basic and more advanced skills, and they call for accountability through annual assessment of basic and more advanced, or higher-order thinking skills, defined in Section 1471(13) of the amended statute as "skills including reasoning, analysis, interpretation, problem-solving, and decision-making as they relate to the particular subjects in which instruction is provided under [Chapter 1] programs."

The concerns reflected in these provisions were recognized in the 1987 National Assessment of Chapter 1, which reported that "Chapter 1 projects provide students with few opportunities to engage in higher-order academic skills, which some researchers believe should be a component of Chapter 1 instruction" (Birman et al. 1987). The congressional intent in requiring the testing of both basic and more advanced skills was to avert criticisms that the program relied on basic skill drills and worksheets to the exclusion of activities to develop thinking skills (Jennings 1991).

With regard to higher-order skills, congressional committee reports asserted the belief of Congress "that all students can master these necessary and appropriate skills" (Committee on Education and Labor 1987) and its intention to write requirements so that "disadvantaged children served by Chapter 1 are not subjected to substantially different academic expectations than other students" (Committee on Labor and Human Resources 1987). As a result, language referring to "advanced skills that all children are expected to master" was included throughout the legislation.

Although Congress had always viewed the purpose of Chapter 1 as bringing children's achievement up to grade level, the inclusion of mastery of advanced skills represented a fundamental change

for the program. Nonetheless, as discussed in the following section, Chapter 1 remains a program in which the teaching of basic skills is the norm and instruction in higher-order thinking skills is the exception.

Conventional Practice

Until recently, most remedial and compensatory education programs were designed to provide low-achieving students with additional practice for mastery of basic content knowledge. Chapter 1 curricula were grounded in the belief that children learn discrete skills in a hierarchical manner—in much the same way as a child constructs a pyramid with blocks. First, the basics, such as phonetic decoding and arithmetic operations, must be taught. Once this foundation is laid, higher-order skills such as reasoning and comprehension can be taught (Knapp et al. 1990; Knapp and Turnbull 1990).

Compensatory education programs have adopted this hierarchical model and focused on basic skills. Indeed, classroom studies (as reported in the 1987 National Assessment of Chapter 1) have documented that children considered at risk of academic failure receive less instruction in complex skills than do their more advantaged counterparts. Thus, while their peers are exposed to teaching for meaning and deeper understanding, compensatory education students are often drilled on discrete skills such as phonics, vocabulary, and word decoding. Each of these skills is taught in a fragmented, isolated fashion, and often what is taught in the Chapter 1 session is not coordinated with what is taught in the regular program.

Current research indicates that these traditional instructional strategies have limited effectiveness with disadvantaged children because such approaches tend to (1) underestimate what disadvantaged students are capable of doing; (2) postpone more challenging and interesting work for too long or, in some cases, forever; (3) provide no context for learning or for using the skills that are taught; and (4) reinforce academic failure over the long term (Knapp et al. 1990).

When intelligently applied, traditional compensatory curricula tend to improve student performance on standardized tests, especially tests that emphasize basic skills, but no comparable gains have been found on measures of more advanced skills (Knapp and Shields 1990). In fact, most educationally disadvantaged students appear to fall further and further behind other students as they progress through school. In the higher grades, where greater emphasis is placed on advanced skills of comprehension, problem solving, and reasoning, the gap between educationally disadvantaged students and their more advantaged peers widens (Mullis 1991). Critics of this kind of instruction argue that, in effect, it places "an unintended ceiling on the learning of disadvantaged students" (Knapp and Shields 1990).

Alternative Paradigms

In the past few years, the conventional wisdom about the most effective ways of educating disadvantaged students has been challenged by researchers who have drawn on new evidence about the way all children learn. Instead of viewing disadvantaged students as being deficient in cognitive, experiential, and linguistic skills, researchers have recently concluded that these students

need extra teaching for meaning in order to build on the knowledge, skills, and abilities that each child brings to the classroom (Knapp and Shields 1990). Theorists and researchers now believe that curriculum and instruction for disadvantaged students should emphasize developmental learning over remediation because complex thinking processes are involved in even elementary mental activities.

The development of advanced skills has long been recognized as an appropriate instructional goal for gifted and talented youngsters, for educationally advantaged children, and for older students. By reorganizing the learning of advanced skills as a component of effective instruction for disadvantaged students, the 1987 National Assessment of Chapter 1 acknowledged the benefits of this learning for Chapter 1 participants (Birman et al. 1987). " Disadvantaged students are not qualitatively different from other students and thus do not need qualitatively different educational programs, but...these students are likely to need educational programs designed to compensate for the gaps and limitations in their cognitive environments outside of school" (Brophy 1990). Higher-order thinking must be learned at all levels—not only by the more advanced students. Research is providing us with empirical evidence that teaching for meaning is effective for children at risk of academic failure.

Cognitive science research in mathematics and reading underscores the importance of an emphasis on meaning and understanding beginning in the early elementary grades. Research has shown that educationally disadvantaged students can acquire "advanced" comprehension skills before they can decode the printed word well; similarly, they can solve a variety of mathematics problems, using modeling and counting, before they have perfected the "basic" computational skills that are traditionally regarded as prerequisites. And first-graders can perform sophisticated composition tasks before they have acquired the mechanics of writing (see exhibit 6-1).

Exhibit 6-1
Emerging Standards of "Good Practice"

These alternatives to conventional practice are consistent with views of curriculum and instruction that have gained currency among experts in mathematics, reading, and writing. Emerging standards for these fields have the following emphases:

- **Mathematics.** More work on understanding and applications, with broader coverage of mathematics topics, less work on computation, and less redundancy across grades.
- **Reading.** More reading for meaning from the earliest grades (and correspondingly less attention to discrete skills taught out of context); exposure to a wide variety of texts, including material related to students' backgrounds and experiences.
- **Writing.** More meaningful written communication and less attention to mastery of writing "mechanics" in isolation; introduction to various genres and the processes of writing from the earliest years in school.

Source: Knapp and Turnbull 1990, p. ii.

Teaching higher-order skills does not mean neglecting to teach those skills generally regarded as basic. Both can be accomplished by using "a complex, meaningful task as the context for instruction on both advanced and basic skills. Instead of constant drill on basic addition and subtraction facts, these skills are practiced in the context of trying to solve real problems" (Means and Knapp 1991). Indeed, recent evidence indicates that instructional practices focusing on advanced skills promote mastery of both basic and advanced skills for children considered at risk of academic failure (Knapp et al. 1992a,b).

Academic Challenge for the Children of Poverty (Knapp et al. 1992a,b) indicates that students who are exposed to academically challenging forms of instruction in math, reading, and writing are likely to perform better at the end of the school year than students whose instruction emphasizes basic skills. Exhibit 6-2 compares the NCE gains at the end of two years for students who were provided comprehension-oriented instruction and their counterparts who received only traditional instruction. Exhibit 6-3 compares the NCE gains of students who were exposed only to computational skills and students who were exposed to multiple mathematical topics with attention to conceptual understanding. Exhibit 6-4 makes these same comparisons using a 12-month period. While these exhibits do not explain differences between NCE gains in the different subjects or between the two years of the study or the fall-fall and spring-spring testing periods, they demonstrate that in virtually all these evaluations, the students whose classrooms focused on more advanced skills displayed higher NCE gains than the students whose classes focused on more traditional instruction. Furthermore, the study indicates that students who initially perform least well (in the bottom third) benefit at least as much as other students from alternative forms of instruction that emphasize understanding and problem solving (Knapp et al. 1992a,b).

Exhibit 6-2
Effects of Alternative Instructional Practices on Mastery of Advanced Skills in Language Arts Across the School Year

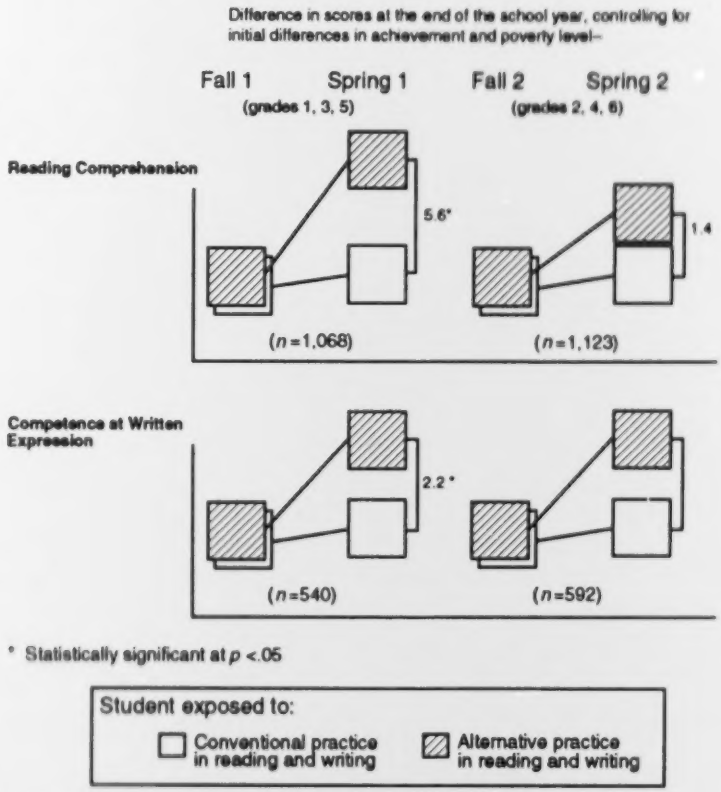


Exhibit reads: By comparison with their counterparts who received only traditional instruction, students extensively exposed to comprehension-oriented instruction performed 5.6 NCEs higher at the end of the school year (year 1), once initial differences in poverty level and achievement are taken into account.

Source: Academic Challenge for the Children of Poverty, SRI International, 1992

Exhibit 6-3
Effects of Alternative Instructional Practices on Mastery of Advanced Skills in Mathematics Across the School Year

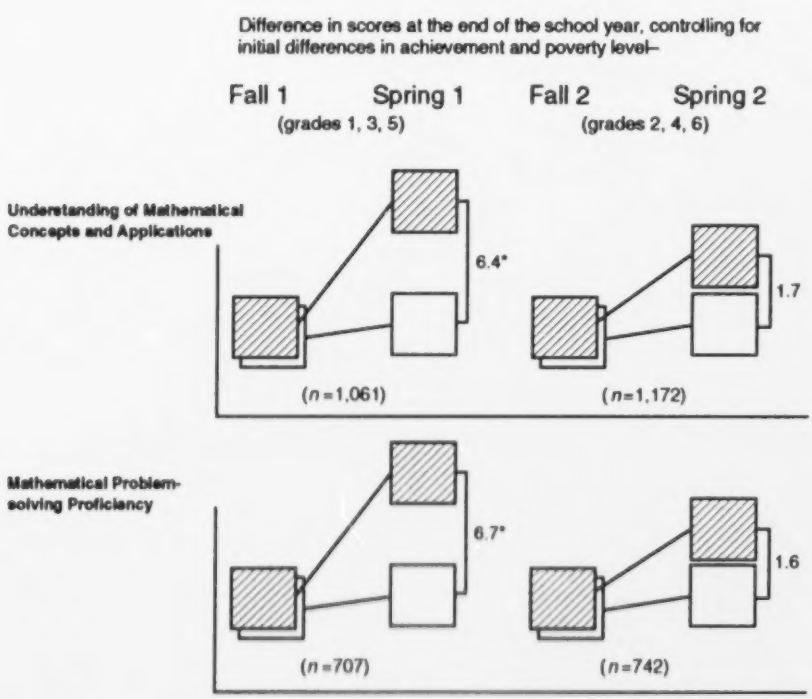


Exhibit reads: By comparison with their counterparts exposed to arithmetic skills only, students in classrooms exposed to multiple mathematical topics with attention to conceptual understanding perform 6.4 NCEs higher at the end of the school year (year 1), once initial differences in poverty level and achievement are taken into account.

Source: Academic Challenge for the Children of Poverty, SRI International, 1992

Exhibit 6-4
Effects of Alternative Instructional Practices on Advanced Skills Over a 12-Month Period

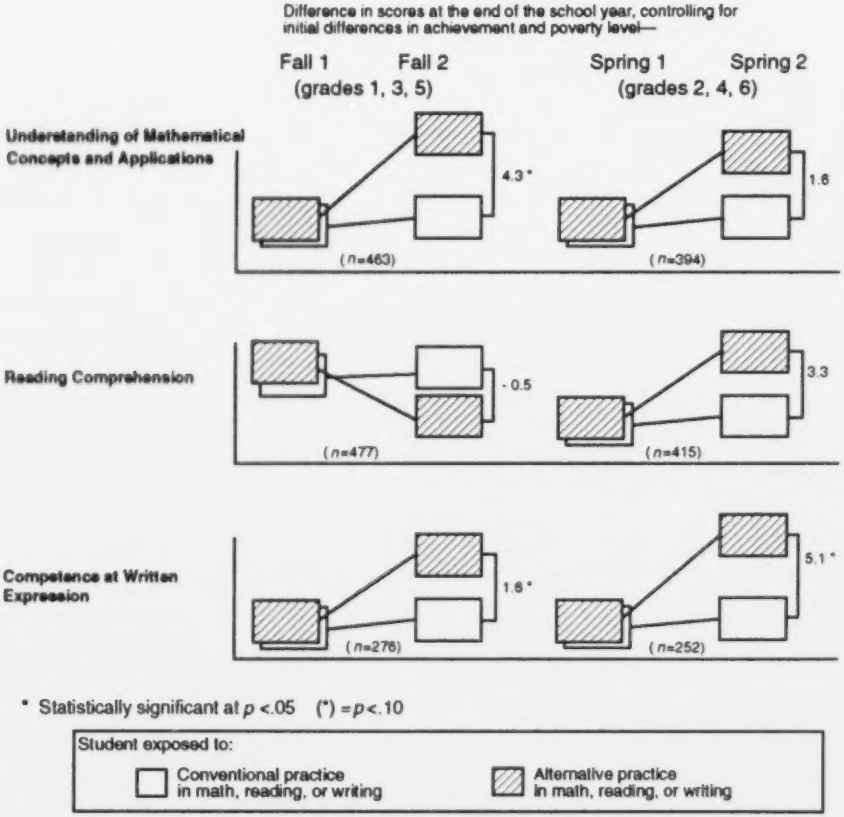


Exhibit reads: By comparison with their counterparts exposed to arithmetic skills only, students in classrooms focusing on mathematics topics and conceptual understanding score 4.3 NCEs higher after the 12-month period ending in fall of year 2, and 1.6 NCEs higher after the 12-month period ending in spring of year 2, once participation in a year-round school as well as initial differences in achievement and poverty level are taken into account. The first of these results is statistically different from zero at the .10 level; the second is not.

Source: Academic Challenge for the Children of Poverty, SRI International, 1992.

Examples of Alternative Programs

Experts in various academic subjects have investigated ways to integrate the teaching of lower-level and advanced skills in instruction for disadvantaged students, drawing on strengths that these children bring to school. Exhibit 6-5 summarizes two instructional programs that have this orientation.

Other promising innovations for disadvantaged students are more wide-ranging, requiring changes throughout the school and district. They respond to a prevailing sense among policymakers, educators, and the public that most reforms based on incremental changes or new instructional technologies have failed and that more comprehensive reforms are needed. For example, a number of schoolwide management initiatives seek to improve achievement for disadvantaged students by focusing on higher expectations and more challenging instruction for all students. The driving spirit behind schoolwide management and the reform efforts described in exhibit 6-6 is the conviction that fundamental problems in the system cannot be solved through mere tinkering with the existing structure of the school. Beyond this consensus, each approach has its own emphasis and direction. While these programs focus broadly on at-risk students, they are highly relevant to Chapter 1 programs. It should also be noted that these promising approaches are relatively new and thus cannot yet show concrete results in many schools.

Exhibit 6-5
Programs That Emphasize Learning Strategies and Advanced Skills

- **Reading Recovery** is an early intervention program for first-graders who experience problems with beginning reading. The program consists of a specific set of strategies designed by Marie Clay and based on years of research in New Zealand. Reading Recovery is not a packaged program; it is a highly individualized system that relies on extended teacher training in diagnostic procedures, authentic assessment, and independent learning strategies.

  The lowest-achieving students in the first grade receive intensive one-on-one tutoring for 30 minutes each day, in addition to regular classroom reading instruction. Students are taught to monitor and correct their own reading and to use many kinds of information (background experience, language knowledge, letter-sound correspondence, context) as they process printed text. When a child has become a proficient independent reader, the treatment is discontinued.

- The **Higher-Order Thinking Skills (HOTS) Program,** developed by Stanley Pogrow and his associates at the University of Arizona, was specifically designed for Chapter 1 elementary school children. HOTS, which draws on theoretical work in cognitive psychology, is based on the idea that children's intellectual abilities remain undeveloped—or are even hindered—by drill-and-practice remedial programs. According to HOTS researchers, at-risk students tend to lack experience in linking concepts and developing understanding. Their learning problems stem from their skill deficiencies rather than from lack of content knowledge. To address this condition, the program focuses on developing learning skills that can transfer across curricular areas.

  HOTS uses commercially available software and Apple II computers. Teachers are trained in Socratic questioning techniques, in which direct "right" answers are never given and independent thinking is encouraged. Various techniques are used to stimulate the development of four thinking strategies: metacognition, inference from content, decontextualization, and information synthesis.

Exhibit 6-6
Restructuring Initiatives for Disadvantaged Students

- **The Accelerated Schools Project,** developed by Henry Levin at Stanford University, is a schoolwide reform that challenges traditional notions about teaching disadvantaged students. Accelerated schools develop a curriculum that emphasizes challenging and exciting learning activities for students who normally are identified for drill-and-practice remediation.

  Accelerated schools are governed by committees made up of teachers, instructional aides, parents, and other school staff. The project encourages teachers to "accelerate" and enliven the learning process by developing students' higher-order thinking skills and by relating instructional material to the students' daily experiences. Material is organized around themes that cut across traditional academic disciplines; language skills are emphasized in each thematic unit. Students are grouped heterogeneously, and teachers are urged to use techniques such as peer tutoring and cooperative learning.

- **Paideia schools** are extensions of the *Paideia Proposal,* written by Mortimer Adler in 1982. The program reflects his conviction that all children in a democratic society are entitled to the same education—in both content and instructional methods. The curriculum draws from the traditional liberal arts, and students read abridged versions of the "Great Books."

  Instructional methods include didactic teaching (traditional teacher-led instruction), coaching (one-on-one instruction), and Socratic seminars, in which teachers are facilitators rather than dispensers of knowledge. The Paideia program requires intensive staff development in the new teaching methods and restructuring of the school schedule to allow time for seminars.

(continued)

Exhibit 6-6 (continued)
Restructuring Initiatives for Disadvantaged Students

- **The Coalition of Essential Schools,** which is based on a restructuring plan for secondary schools developed by Theodore Sizer, reflects the assumption that schools need to become less comprehensive and more "basic" by focusing on a few essential skills and areas of knowledge. Teachers should have responsibility for far fewer students in order to personalize instruction and should have ample time to consult with one another and work together.

  Under the Sizer plan, the school day is rearranged to allow for more concentrated effort on fewer topics. Progress is measured by an "exhibition" of the central skills and knowledge of the school's program. This model, which is not a specific learning method or teaching technique, differs from school to school. The overriding goals are to treat students as "active learners" and to help them learn to use their minds well.

Issues to Consider When Integrating More Advanced Skills into Chapter 1

Curriculum

The most prevalent mathematics and reading curricula support the conventional wisdom discussed earlier. The mathematics textbooks and basal readers most commonly used in schools that serve the children of poverty tend to present discrete skills in a sequential manner.

> ***The children of poverty are especially prone to experience the adverse effects of the skills-based curriculum. Typically, they have fewer out-of-school opportunities than their more-advantaged counterparts to integrate the learning of discrete skills into true proficiency. Given the frequent disparities between school and their home lives, disadvantaged students often see less purpose for or meaning in skills-based learning tasks than do more-advantaged students; consequently, they need help to find meaning in what they do in school*** **(Knapp and Shields 1990).**

There is a need for curricula that include more advanced skills throughout (including the earlier stages), allow students to apply skills in context, and emphasize meaning and understanding (Knapp and Turnbull 1990).

Implementation and Staff Retraining

Although innovative models for promoting advanced skills exist, their success depends upon the people implementing them. The reforms described here are comprehensive and far-reaching. They do not come in packages, and they cannot be replicated from one site to another. A broad rethinking of curriculum and instruction, with a view toward higher expectations for all students—including those at risk for school failure—requires leadership, collaboration, and ongoing staff retraining. The reforms that ask the most of students also ask the most of teachers. In order to make these changes, teachers can no longer be thought of as managers of new instructional technologies; they must become expert problem-solvers themselves.

Recent experience from the implementation of California's Mathematics Curriculum Framework demonstrates that large-scale curricular reform is not a simple task. The framework was designed to promote students' understanding of mathematical concepts through the use of manipulative materials and problem solving, rather than merely promoting the capacity to remember algorithms and produce correct answers. Preliminary studies of teachers' experience with the framework suggest that some teachers made major changes in their instructional practice while others changed little or not at all. Many teachers adopted the framework within their existing traditional structures, treating problem-solving techniques and the use of manipulative materials as discrete math skills or as a means to help students memorize math tables, rather than as elements to support all sorts of mathematical processes (Cohen and Ball 1990).

Evidence from *Academic Challenge for the Children of Poverty* also illustrates the difficulties teachers experience when adopting alternative instructional strategies into their teaching repertoire. Teachers who were exposed to alternative instructional methods were likely to employ these methods when provided the flexibility and opportunity, but they usually used these methods in only one

subject area and continued to provide a more conventional form of instruction in others (Knapp et al. 1992a,b).

Local schools need ample time, learning opportunities, and support from district and state offices as they prepare to adopt alternative approaches to teaching advanced skills to disadvantaged students. In order to teach educationally disadvantaged students most effectively, many teachers must alter their conceptions about such students' capabilities and change some methods of teaching. Revisions in curriculum needed to increase students' learning of higher-order thinking skills must be accompanied by changes in the methods that are used to present that curriculum. Intensive staff development that emphasizes teachers' classroom skills is needed to develop capacity in teaching more advanced skills.

Coordination

The Chapter 1 Implementation Study (Millsap et al. 1992b) estimates that basic Chapter 1 instruction accounts for only 24 to 30 minutes a day, five days a week. Because Chapter 1 represents only a small portion of a student's day, both Chapter 1 and regular teachers need to learn the most effective methods to instruct at-risk students and to promote higher-order thinking skills. Obviously, the development of these skills cannot be limited to Chapter 1 instruction or to mathematics and reading, the most common subjects in Chapter 1 programs. Higher-order skills must be taught in and applied to all subjects. Furthermore, developing higher-order skills needs to involve the outside environment as well. It is unfair to expect students to attain critical thinking skills if the Chapter 1 program is the only place in which these skills are taught.

Assessment

Chapter 1 program regulations specify that LEAs must assess more advanced skills by identifying specific subtests, such as reading comprehension and mathematics problems and applications, within the standardized tests used to measure aggregate performance. The use of this method to assess higher-order thinking skills is the subject of considerable debate for a number of reasons:

- Widely administered standardized tests that may claim to test critical thinking skills may measure only a few abilities.

- Because these tests attempt to measure thinking that requires an understanding of subtlety, the exercise of judgment, and a weighing of alternatives, critics maintain that the tests themselves should involve judgment and interpretation (Resnick 1987). Problems that demand higher-order thinking often have multiple correct solutions. Thus, it is misleading and inappropriate to place these questions in a format that requires a single correct answer.

- Multiple-choice tests do not reveal the complexity of the thinking processes used to answer the questions.

- Multiple-choice tests do not consider the influence of students' background on their answers and reasoning (Norris 1989).

Current testing programs, especially those designed for the elementary grades, emphasize basic skills; more advanced content is typically added in later years. Moreover, these tests seem to determine much of the teaching that goes on in our schools. Teachers often use test items as prototypes for the instructional

materials they prepare (Beyer 1984). Schools held accountable for student performance naturally orient their curricula around the content of those tests. The use of multiple-choice tests as the primary vehicle for assessing student mastery of the curriculum may unintentionally discourage teachers from focusing curricula around higher-order skills, because such skills are not necessarily the most direct route to producing high scores on tests of basic skills.

Standardized tests may measure aspects of critical thinking, but innovative measures such as performance assessments may be even more accurate. In performance assessments, students are given a task that requires planning, analysis, and execution, and the students are evaluated on the process they use as well as the results.

Issues to Be Addressed in the Final Report

The final report will examine student outcome data and descriptive data examining programs that emphasize advanced skills. The implementation issues raised above will be addressed in the examination of these alternative approaches. In addition, student outcome data will allow us to compare the effects of alternative programs with traditional Chapter 1 programs.

The major issues to be examined include these:

- Which instructional strategies that emphasize advanced skills are most effective?

- What requirements are necessary to replicate alternative instructional approaches emphasizing advanced skills, including preconditions for change, roles of personnel, alterations in curriculum and instruction, and program costs?

- What are the characteristics of teachers who have the capacity to integrate more advanced skills into the curriculum, and what type of retraining is needed to help teachers develop those characteristics?

Section Seven

Targeting Chapter 1 Funds to Children in Need

Two definitions of poverty—length of time in poverty and concentrations of poverty—provide ways of estimating the intensity of the poverty experience for the child. That is, the child whose family lives in poverty for several years experiences a more intense form of poverty than the child whose family may be poor for only a brief period. Similarly, the child who is surrounded by poor families and attends school with a large number of poor children experiences a more intense form of poverty than do children who attend schools with relatively few poor students.

—1987 National Assessment of Chapter 1

The Chapter 1 program is intended to compensate for the educational problems created by poverty. The program pursues this goal by directing funds to school districts and schools in accordance with the number of children in poverty and by targeting individual students within Chapter 1 schools for supplemental services based on their low academic performance.

This chapter discusses the dynamics of poverty that affect Chapter 1 targeting, the provisions for allocating Chapter 1 Basic and Concentration Grants, and concludes with a discussion of some of the consequences of funding and formula decisions on the distribution of Chapter 1 funds.

- The number of school-age children living in poverty is increasing, and there have been substantial regional shifts in the distribution of child poverty since 1980. Generally, childhood poverty is moving westward from the Northeast. Some states have experienced increases of up to 67 percent, while others have 34 percent fewer poor children than in 1980.

- Changes in Chapter 1 participation are only roughly associated with changes in funding levels. Although spending has increased considerably over the past few years, the number of children participating in Chapter 1 has increased modestly.

- Chapter 1 staffing levels have declined; this decline may indicate a decrease in the intensity of services provided to students. Chapter 1 staffing reductions reflect the rapid growth in teacher salaries during the 1980s, which considerably outpaced the general inflation rate and available Chapter 1 dollars.

- Although Chapter 1 participating schools have disproportionately high numbers of poor children, a substantial number of schools at all poverty levels participate in the program. More than 90 percent of all school districts receive Chapter 1 funds, and 71 percent of elementary schools receive federal Chapter 1 monies. Indeed, almost half of the elementary schools in the nation with fewer than 10 percent poor children in their student body receive Chapter 1 funds.

- While most Chapter 1 participants score in the lower half of the distribution of standardized test scores, there are anomalies, at least at the national level, in which higher-performing students are served while lower-performers go unserved.

The Dynamics of Child Poverty

The ranks of disadvantaged students are growing. Children, especially young children, are twice as likely as any other group of Americans to be poor. As poverty among the elderly fell in the 1980s, children became the poorest of all Americans. In 1991, more than 13 million children in the United States—more than one in five—lived in families with incomes below the poverty line (Committee on Ways and Means 1992). In 1990, 8.6 million school-age children (ages 5–17) were living in poverty (U.S. Department of Labor 1990).

The number of children (birth to 18) in poverty increased by more than 2.2 million from 1979 to 1989 (Johnson et al. 1991). The number of poor school-age children increased by more than 400,000 or 6 percent (U.S. Department of Commerce 1992). Although the number of white children living in poverty is far higher than the number of poor black children—just as whites far outnumber blacks in society at large—the chances that a minority child will face poverty are strikingly higher than those for whites. For children under 18 in 1990, the poverty rates were 45 percent for blacks, 38 percent for Hispanics, and 16 percent for whites, meaning that blacks were three times as likely and Hispanics two and a half times as likely as white children to be poor (Committee on Ways and Means 1992). Hispanics accounted for roughly half of the 2.2 million children who fell into poverty in the past

decade (Johnson et al. 1991). Moreover, at least 5 million children in 1989 lived at half the official poverty line (with incomes of less than $6,338 for a family of four) (Johnson et al. 1991).

Although the proportion of children who remain poor for a long time is relatively small (approximately 5 percent), certain household characteristics influence the amount of time a child can expect to live in poverty. Children who belong to a minority group, live in rural areas or in the South, or live in single-parent families are more likely to be persistently poor (Committee on Ways and Means 1992).

Minorities constitute 65 percent of the children who are considered long-term poor (Committee on Ways and Means 1992). Black children are not only more likely than whites to be poor but also more likely to be poor longer. More than one-half of all black children will spend at least 4 of their first 10 years of life poor, and almost 90 percent of the children who are poor for 10 or more years of their childhood are black (Committee on Ways and Means 1992).

Long-term poverty is also concentrated in one-parent households. More than half of all poor families in the United States are headed by a woman, and children from female-headed households are five times as likely to be poor as are those in married-couple families (Johnson et al. 1991). As many as 61 percent of all children reared entirely in a single-parent household will be poor throughout most of the early years of their childhood, and only 7 percent will avoid poverty altogether (Committee on Ways and Means 1992).

Concentrated Poverty

Low-income minority children are much more likely than poor white children to live in areas of concentrated poverty. In 1988, 19 percent of all children and 47 percent of those in poor families lived in concentrated poverty areas. More than 70 percent of poor black children and 58 percent of poor Hispanic children lived in poverty areas—mainly major metropolitan areas—compared with only 33 percent of poor white children who did (Committee on Ways and Means 1992).

But child poverty is not solely an urban problem, and the image of poor children as those who live in urban tenements is often inaccurate. In 1989, more poor children lived outside central cities (6.9 million) than inside them (5.7 million) (Johnson et al. 1991). Rural children are 1.5 times more likely than children in metropolitan areas to be trapped in poverty for periods of three or more years (Johnson et al. 1991). Rural children in the South have the highest poverty rate of any region: nearly 1.9 million children in the rural South were poor in 1990 (Sherman 1992). The effects of rural poverty are especially pronounced for minorities. Black children living in rural areas, or in the South, or both, can expect more years in poverty than children in large cities or outside the South, or both (Committee on Ways and Means 1992).

Poverty places children at extreme individual, educational, and societal disadvantage. Poor children are less likely to have adequate nutrition, medical care, and safety. They are four times as likely to be retained in grade and thus more likely to drop out of school. Female teenagers who are poor and who have below-average skills are 5.5 times as likely to have babies as nonpoor female teenagers with average or better skills (Johnson et al. 1991). These disadvantages tend to overlap, contributing to a continuing cycle of poverty. Chapter 1 seeks to break this cycle by targeting supplemental educational services on areas with high concentrations of poor children.

Targeting Provisions

The main provisions for targeting Chapter 1 Basic Grants have remained the same since the early 1970s. The federal government provides grants to states based on the county-level decennial census counts of the number of poor children within each state and the state per-pupil expenditures. The states distribute Chapter 1 funds to school districts based on the number of poor students within each district, which is determined by using either the decennial census or other data, such as the number of participants in the free/reduced-price lunch program and other data. School districts determine school eligibility for the Chapter 1 program by ranking schools on the basis of the poverty level in the school attendance area (typically using data from the free/reduced-price lunch or Aid to Families with Dependent Children programs), but funding among eligible schools is allocated according to the number of low achievers rather than the number of poor children. Low-achieving students, so designated on the basis of achievement tests and teacher judgment, are selected to receive Chapter 1 services. Previous National Assessments of Chapter 1 as well as the General Accounting Office (GAO) targeting study have documented that school districts correctly follow the targeting procedures for school and student selection (Birman et al. 1987 and GAO 1987).

The last National Assessment presented two options designed to serve more schools with high-poverty rates and to serve more low-achievers. These options were as follows:

> ***If Congress wants the Chapter 1 program to serve more schools with high-poverty rates, the districts with high-poverty rates in which these schools are located need enough funds to serve more schools. To achieve this goal, Congress should consider: (1) funding Concentration Grants for districts with high***

rates of poverty or (2) redistributing Chapter 1 funds to decrease grants to districts with low rates of poverty and increase grants to districts with high rates of poverty.

If Congress wants Chapter 1 to serve more low achievers, it could consider (1) encouraging districts to serve their lowest achievers in all grades, (2) encouraging districts to allocate resources to schools more directly on the basis of the number of disadvantaged students to be served, or (3) modifying some of the procedures districts use to select students **(Birman et al. 1987).**

In the 1988 amendments, Congress strengthened the targeting of Chapter 1 funds and services through revising Concentration Grants, which provide additional funds to counties with large concentrations of children in poverty, because of evidence that the educational problems associated with poverty are magnified when there is a high concentration of poor children. The amendments modified the poverty thresholds that counties must meet to be eligible for Concentration Grants. A county receives a Concentration Grant if the number of children in poverty in the county exceeds either of two thresholds: 15 percent of the population ages 5–17 (lowered from 20 percent) or 6,500 children (increased from 5,000 children). In addition, Congress resumed funding Concentration Grants; in fiscal 1992, 10 percent of the Chapter 1 appropriation was distributed through Concentration Grants. These were the only significant changes affecting targeting of Chapter 1 funds in the 1988 amendments.

The Basic and Concentration Grant targeting provisions suggest that Chapter 1 funds are focused on the lowest-achieving students in the poorest areas. Yet data reported in the 1987 National Assessment of Chapter 1 (Birman et al. 1987) and more recent information from the 1987 Schools and Staffing Survey

(Anderson 1992) find that Chapter 1 funds are only modestly focused on the poorest school districts, going to 90 percent of all school districts. This spreading of funds among districts results from the provision that all districts with 10 or more eligible students receive Chapter 1 funds. Therefore, while Chapter 1 services would be expected in districts where a high percentage of the students receive free/reduced-price lunches, Chapter 1 programs are also found in 85 percent of districts where less than 10 percent of the student population is eligible for free/reduced-price lunch programs (Anderson 1992). The highest proportion of Chapter 1 students (45 percent) live in districts in the highest-poverty quartile, but 11 percent are in low-poverty districts (see exhibit 7-1). In addition, Chapter 1 services are modestly focused on the lowest-achieving students. Nationally representative data suggest that although most Chapter 1 participants are low-achievers, program coverage extends to students who tested well, while large numbers of low-achievers go unserved (Abt Associates, Inc. 1992).

Funding Levels and Participation Rates

Chapter 1 has received substantial increases in funding since the last reauthorization. Between fiscal 1988 and fiscal 1992, Chapter 1 appropriations for Basic and Concentration Grants rose from $3.8 billion to $6.1 billion—a 36 percent increase after adjusting for inflation (see exhibit 7-2). These funds will serve about 5 million students, or 11 percent of the total elementary and secondary student population in fiscal 1993.

Exhibit 7-1
Distribution of Chapter 1 Public School Students in Relation to All Students, by District Poverty Quartile, 1984–85 and 1990–91

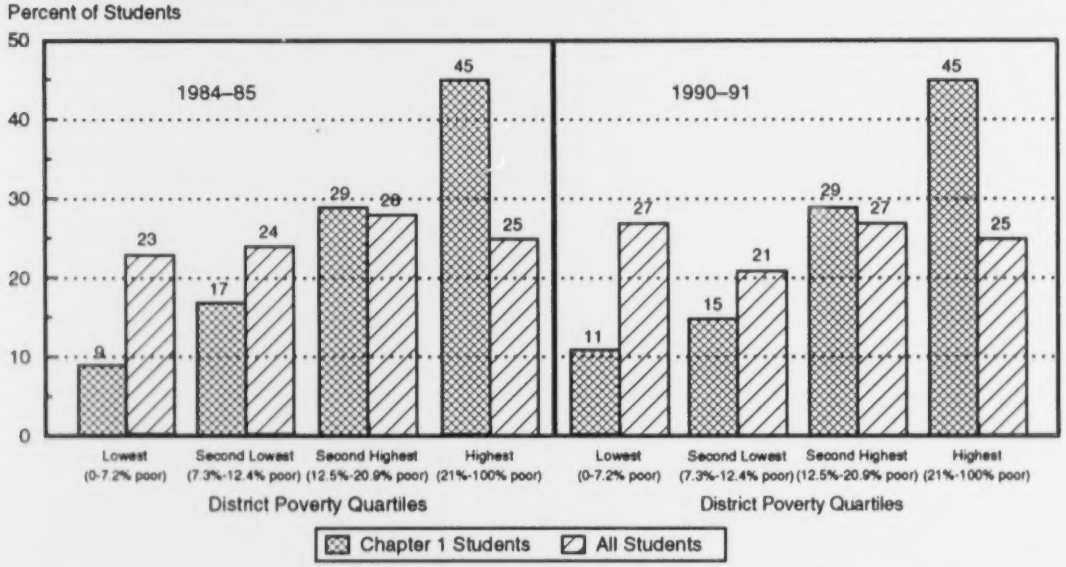


Exhibit reads: The distribution of Chapter 1 public school students in relation to all students residing in the Chapter 1 district has changed very little since 1984–85.

Note: District poverty rates were obtained from the 1980 Census mapping of school district boundaries, which use the Oshansky index of poverty.

Source: Chapter 1 Implementation Study, Abt Associates, 1992.

Exhibit 7-2
Chapter 1 Funding and Participation Trends, 1979–80 to 1992–93

Year	Appropriations*		Appropriations (Inflation-Adjusted)		Participation		Chap. 1 $/Participant Funding (1991–92 $)	(1991–92 $) Total Elementary/Secondary $/Pupil
	Current $ in Billions	Annual Growth %	Constant 1991–92 $ in Billions	Annual Growth %	Millions	Annual Growth %		
1979–80**	2.777		4.729		5.162		916	3,718
1980–81**	2.732	–1.6	4.188	–11.4	5.076	–1.7	825	3,681
1981–82**	2.611	–4.4	3.735	–11.8	4.619	–9.0	809	3,708
1982–83	2.563	–1.9	3.544	–5.1	4.448	–3.7	797	3,853
1983–84	2.758	7.6	3.693	4.2	4.573	2.8	808	3,992
1984–85	3.004	8.9	3.883	5.2	4.713	3.1	824	4,211
1985–86	3.200	6.5	4.049	4.3	4.740	0.6	854	4,419
1986–87	3.062	–4.3	3.774	–6.8	4.733	–0.1	797	4,575
1987–88	3.454	12.8	4.090	8.4	4.951	4.6	826	4,685
1988–89	3.830	10.9	4.330	5.9	5.047	1.9	858	4,912
1989–90**	4.026	5.1	4.342	0.3				
1990–91**	4.768	18.4	4.902	12.9				
1991–92**	5.558	16.6	5.558	13.4				
1992–93**	6.135	10.4	5.944	6.9				

* Because Chapter 1 is forward-funded, appropriations are recorded here for the year *for* which they were appropriated rather than the year *in* which they were appropriated.

** Includes both Basic and Concentration Grants.

Exhibit reads: Participation rates are only roughly associated with changes in funding levels.

Source: Office of Policy and Planning 1992.

The increase in Chapter 1 appropriations between fiscal 1988 and fiscal 1992 was used both to increase Basic Grant funding and to fund Concentration Grants. In addition, these appropriations funded a small state minimum grant provision. While the overall increase in funding was 36 percent, state increases ranged from 2.6 to 44 percent, with no apparent regional trends. States with large proportions of poor, black, and Hispanic children received a higher proportion of Concentration Grant funds. Similar patterns were found in a sample of counties containing the largest school districts and the poorest counties in the nation.

Overall, the current formula for distributing Concentration Grants produces a modest degree of concentration. Seventy-five percent of the 8.1 million children eligible for Chapter 1 Basic Grants live in counties eligible to receive Concentration Grants. Further concentrating the distribution of Concentration Grant funds to counties that contain 25 percent or 50 percent of all low-income pupils would require increasing the poverty threshold to 20 percent and 30 percent, respectively (Barro 1991).

An assumption made in funding many federal education programs is that increases in funding will result in increased participation rates. That is, spending per participant will remain relatively constant so that a change in funding (e.g., 5 percent) translates into an equivalent change in program participation (e.g., 5 percent).

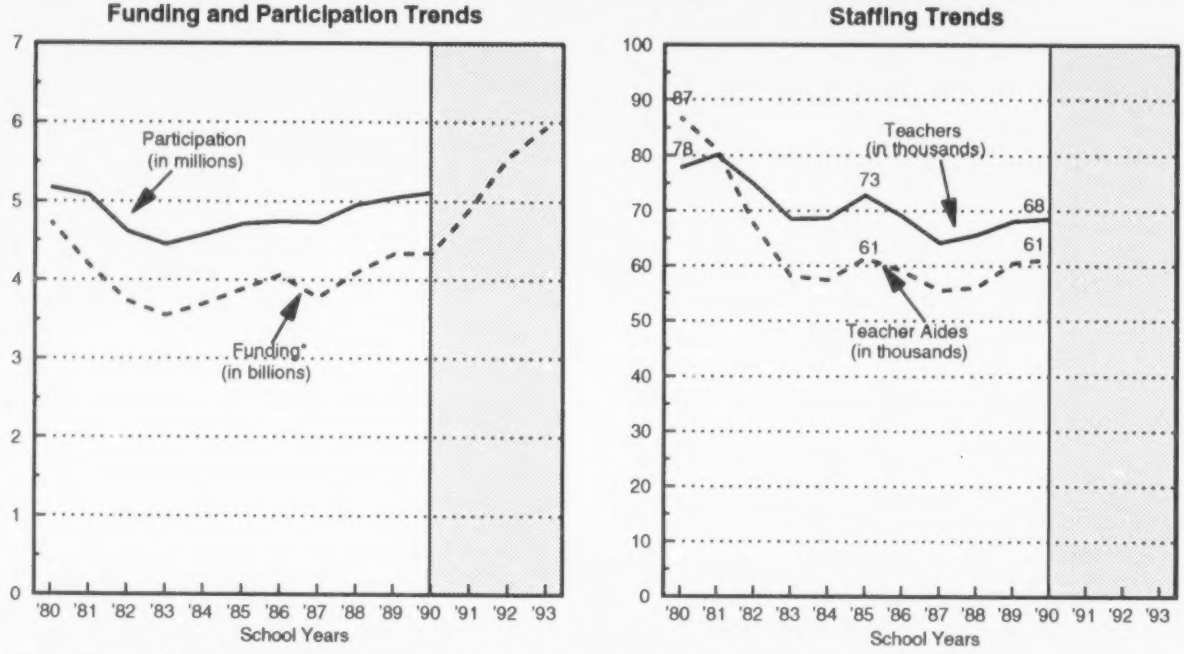
Significant variations in Chapter 1 appropriations during the 1980s allow us to examine this assumption. Since 1980, Chapter 1 funding, adjusted for inflation, initially dipped, then returned to prior levels, and most recently experienced a substantial increase. Because the program is forward-funded (funds are distributed one year after they are appropriated), and because of lags in data collection and reporting, information on the distribution and impact of recent funding increases remains limited.

Participation rates are only roughly associated with changes in funding. Between 1980 and 1989, participation trends paralleled the direction of changes in funding—increasing when funding rose and decreasing when funding declined—although participation rates changed more gradually than funding levels (see exhibit 7-3). Over this period, funding increased 38 percent in current dollars and declined by 8 percent in inflation-adjusted dollars, while participation declined by 2 percent. The modest disparity between changes in funding levels and participation rates reflects, in part, the desire of district officials to maintain service levels in periods of declining resources (by using carryover funds) and replenishing reserves in periods of expanding resources before increasing participation rates.

Even though funding levels have increased faster than participation, the intensity of services provided to students may have declined, if staff levels are indicative of intensity. The small net change in aggregate participation between 1979 and 1988 and Chapter 1 funds per participant belies major reductions in Chapter 1 staff per pupil that occurred in the 1980s (see exhibit 7-3). Between 1980 and 1989, the proportion of teachers to Chapter 1 participants declined by 13 percent and aides to participants declined by 31 percent. Most of this decline occurred during the first half of the decade when Chapter 1 funding was also declining. Although a similar decline in the number of public school teachers overall occurred in the early 1980s, the number quickly recovered, outpacing the rise in enrollment. Chapter 1 teachers and teacher aides, however, remain fewer than in 1980. Chapter 1 staff reductions reflect the rapid growth in teacher salaries during the 1980s, which considerably outpaced the general inflation rate and available Chapter 1 dollars.

Growth in funding for regular education has greatly outpaced increases in funding for Chapter 1. Exhibit 7-2 shows that Chapter 1 funding per participant failed to keep up with increases in overall education spending per pupil. In inflation-adjusted dollars, Chapter 1 resources per participant fell slightly, while

Exhibit 7-3
Funding, Participation, and Staffing Trends in Chapter 1



* Note: Funding is shown in constant 1991–92 dollars.

Exhibit reads: Participation changes paralleled the direction of funding changes. The small net change in aggregate participation varies significantly with reductions occurring in proportion of Chapter 1 staff to participants.

Source: Summary of Chapter 1 Participation and Achievement Information, 1988–89, Westat Inc., 1991.

average education expenditures rose by about one-third. Hence, funding for Chapter 1 services per participant declined from 25 percent to 18 percent as a share of total funding for education services Chapter 1 students receive. This raises an important question: How can Chapter 1 resources, by themselves, significantly improve educational opportunities for the disadvantaged?

Changes in Racial/Ethnic Composition of Chapter 1 Population

Participation in Chapter 1 should be responsive to changing needs and priorities among at-risk populations. During the 1980s, the racial/ethnic composition of the Chapter 1 population changed, with increasing Hispanic and decreasing white student participation (see exhibit 7-4). Hispanics accounted for one-quarter of all participants in 1990, up from about 15 percent in 1980. The growth in Hispanic participation is consistent with the 60 percent expansion of Hispanic student enrollments in elementary and secondary education during the 1980s. Black students currently constitute slightly more than 25 percent of students served—about the same percentage as 1980—and the proportion of white students declined from more than half of participants in 1980 to 43 percent in 1990. Looking at the Prospects Longitudinal Study data on the rate of Chapter 1 participation by race/ethnicity, fewer white students in the third grade (9 percent) are enrolled in Chapter 1 reading programs than the mean participation rate of 12 percent. In contrast, black student participation is almost double the mean participation rate. The racial/ethnic composition of the Chapter 1 student

Exhibit 7-4
Percent of Total Chapter 1 Participants by Racial/Ethnic Classification, 1979–80 through 1989–90

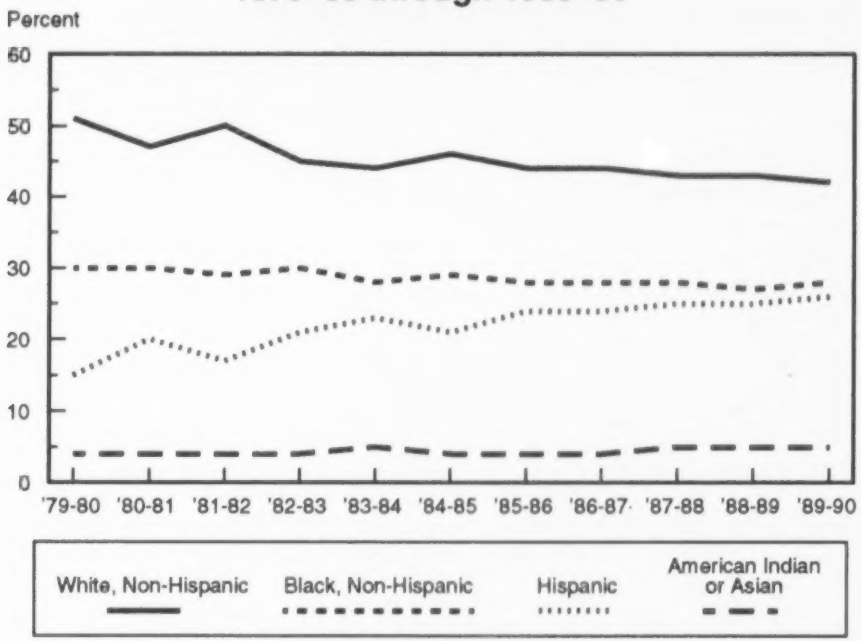


Exhibit reads: Since 1979–80 the percentage of Chapter 1 participants who are white has decreased, while the percentage of Chapter 1 participants who are Hispanic has increased.

Source: Summary of Chapter 1 Participation and Achievement Information, 1989–90, Westat, 1991.

population corresponds closely with the racial/ethnic composition of the population of students with low achievement scores (e.g. below the 20th percentile) found in the Prospects data.

Chapter 1 programs continue to be heavily directed toward the early grades. Most participants—72 percent—are in grades 1–6, about the same percentage as a decade earlier. Preschool and kindergarten students accounted for 9 percent of participants in 1990, up from 6 percent in 1980, reflecting an increased emphasis on early childhood education.

Coverage of schools declines with grade level. In the 1987–88 school year, Chapter 1 covered 71 percent of all public elementary schools, 49 percent of all public middle and junior high schools, and just 30 percent of all public senior high schools (Anderson 1992). Similar findings were reported in previous National Assessments.

Targeting the Neediest Students and Schools

Children in high-poverty schools are often the most at risk of academic failure (Birman et al. 1987). Student achievement declines as school poverty increases, especially when school poverty exceeds approximately 30 percent (Abt Associates, Inc. 1992). The following comparisons, drawn from the Prospects Longitudinal Study, highlight some of the greater needs of students in schools with very high concentrations of poverty.

- One-third of the students in schools with very high concentrations of poverty fall in the bottom 20 percent

on achievement, compared with only 8 percent of students in schools with the least poverty.

- The *average* achievement of students in high-poverty schools is lower than the achievement of *Chapter 1 students* in low-poverty schools.

- The incidence of low-achieving Chapter 1 students is three times greater in schools with high concentrations of poverty than in schools with low-poverty.

The target population for Chapter 1 has been an issue since the program's inception. In previous reauthorizations, some policymakers have perceived Chapter 1 as a program to assist low-achieving children and proposed that funds be disbursed based on a low-achievement criterion. Others have perceived Chapter 1 as a poverty program to support the educational needs of students from low-income communities.

The legislation refers to both the special educational needs of low-income students and of low-income areas:

> ***In recognition of...the special education needs of children of low-income families and the impact of concentrations of low-income families on the ability of local educational agencies to provide educational programs which meet such needs.***

As a compromise to both approaches, Chapter 1 uses the distribution criteria outlined at the beginning of this chapter. This section examines how well this multistage process works in terms of two criteria: targeting with respect to educationally disadvantaged students and targeting on low-income areas.

Low-Achieving Students

If Chapter 1 were directed only at the lowest-achieving students, the program could serve all students below the 11th percentile nationally. Other considerations, such as the concentration of services on lower grades, might alter this percentage for particular schools. Nonetheless, given funding limits, Chapter 1's priority should rest with students in the low achievement percentiles.

Achievement data from the Prospects Longitudinal Study present a mixed picture on how well the program serves the most educationally disadvantaged students. While eligibility for Chapter 1 may be determined by criteria other than the tests administered in the study, similar standardized tests are often used for placement in Chapter 1. The test data, which reflect end-of-year scores of Chapter 1 students, confirm that Chapter 1 is disproportionately concentrated among low-achievers (i.e., below the 30th percentile), but the data also show (as did the last National Assessment) that coverage extends to students who performed well on the end-of-year tests, while large numbers of low-performers go unserved. Third-grade reading test scores show that 42 percent of Chapter 1 participants score below the 20th percentile and 58 percent fall below the 30th percentile (see exhibit 7-5). However, 11 percent of the participants fall between the 40th and 50th percentiles and 18 percent are among the top half of the students in the country. In the seventh grade, low-achievers constitute a greater proportion of Chapter 1 participants. About 68 percent of Chapter 1 seventh-graders score below the 30th percentile, compared with 58 percent in the third grade; 12 percent in the seventh grade score above the 50th percentile, compared with 18 percent in the third grade (Abt Associates, Inc. 1992).

The issue of participation becomes one of priorities: Should very academically needy students take the place of less needy Chapter 1 participants? It is extremely difficult to determine whether needy schools and students are not receiving services. As the prior

Exhibit 7-5
Chapter 1 Coverage of Low-Achievers for Third-Grade Reading

Percentiles	Percent Participating	Percent Distribution of Chapter 1 Participants
0-10	40.2	25.8
11-20	33.4	16.4
21-30	29.1	15.9
31-40	14.9	12.7
41-50	7.7	11.4
50+	5.0	17.8

Exhibit reads: Third-grade reading test scores show that almost 26 percent of Chapter 1 participants score below the 10th percentile and 42 percent score below the 20th percentile.

Note: This exhibit excludes schoolwide projects.

Source: Prospects 1992.

National Assessment noted, "Many of these students are served by other special programs. Thus, low-achieving students who participate in special education programs, state or local compensatory programs, or programs for limited English proficient students may not receive Chapter 1 services" (Birman et al. 1987). However, the data clearly show that Chapter 1 is serving significant numbers of average or above-average achievers, while many very low performers go unserved. Indeed, Chapter 1 reaches only 40 percent of the students in the lowest achievement group and still fewer in the 10th-to-30th percentile range.

Low-Income Schools

The large number of schools served by Chapter 1 raises the issue of whether the program is focused on those schools with the greatest need for federal support. About 52,000 schools, half of all public and private schools in the country, receive Chapter 1 funds. Among non-public schools, 42 percent of Roman Catholic schools participate in the program, 6 percent of other religious schools participate, and 13 percent of secular private schools participate (Anderson 1992).

Within districts, Chapter 1 funds are not always concentrated on the poorest schools. The existence of numerous school selection options has led to a spreading of Chapter 1 services, regardless of the existence of provisions within the regulations that require districts to concentrate funds on projects that "are of sufficient size, scope, and quality to give reasonable promise of substantial progress toward meeting the special educational needs" of program participants (Section 200.20(a)(10)). Among the provisions available to districts are the grade span option, which allows districts to limit services to designated grades; the no wide variance option, which allows districts to serve all schools if the range in poverty is narrow among schools in the comparison group; the 25 percent option, which allows an LEA to designate

as eligible for Chapter 1 services any attendance area with at least 25 percent children from low-income families; and the "grandfather" option, which allows districts to continue programs in schools no longer eligible for Chapter 1 services for one additional year.

As a result of these and other provisions, districts provide Chapter 1 services in most of their elementary schools and considerably fewer secondary schools. Seventy-one percent of all public elementary schools are Chapter 1 schools, in contrast to 39 percent of secondary schools. Overall, 15 percent of all elementary school students and 6 percent of secondary students receive Chapter 1 services. In the poorest schools, more than one in four elementary school students is served, compared with less than one in ten in low-poverty schools. Only about one in five secondary school students in high-poverty schools receives Chapter 1 services, and almost no students in low-poverty secondary schools participate (Hollinger et al. 1992).

Although Chapter 1 funds are targeted most heavily at high-poverty schools, substantial numbers of schools at all poverty levels participate in the program. At the elementary level, 86 percent of the schools in the highe[illegible]overty category—those that serve more than 50 percent poor children—receive Chapter 1 funds. However, almost half of the elementary schools in the lowest poverty category—those that serve fewer than 20 percent poor children—also participate in Chapter 1 (Hollinger et al. 1992). The concentration of Chapter 1 students in high-poverty schools is increasing. A far greater proportion of Chapter 1 schools were high-poverty schools in the 1991–92 school year than in 1985–86, according to principals' estimates of free/reduced-price lunch eligibility. The percentage of Chapter 1 students in high-poverty schools increased from 43 percent to 62 percent between the 1985–86 and 1991–92 school years (Millsap et al. 1992b).

High-poverty schools serve a larger proportion of their students in Chapter 1 programs. The Prospects Longitudinal Study data show that 35 percent of third-graders in high-poverty schools (those with 60 to 100 percent free and reduced-price lunch) participate in Chapter 1, compared with 8 percent of children in low-poverty schools (see exhibit 7-6). Although these data indicate a higher concentration of Chapter 1 services in high-poverty schools, they also show that large numbers of poor children are not being served. Prospects Longitudinal Study data also show that, for both third- and seventh-graders, many low-achievers in high-poverty schools still do not receive Chapter 1 services. Almost 20 percent of the poorest schools do not offer Chapter 1. Because the lowest-achieving Chapter 1 participants are disproportionately concentrated in the highest-poverty schools (see exhibit 7-7), redirecting Chapter 1 funds from low-poverty to high-poverty schools is likely to result in a greater concentration of services on the students with the greatest educational needs.

Changes in Geographic Distribution of Children in Poverty

Population shifts are a potential problem for the effective targeting of Chapter 1 to high-poverty areas because the funding mechanism relies on the decennial census to provide local information on school-age poverty. Because the census poverty information for local areas is updated only once every 10 years, there are major one-time shifts in the formula numbers each decade. Data just released from the 1990 census reveal substantial shifts in the distribution of child poverty across the states, with some states experiencing increases of up to

Exhibit 7-6
Participation in Chapter 1, by Percent of Third-Graders Eligible for Free/Reduced-Price Lunches

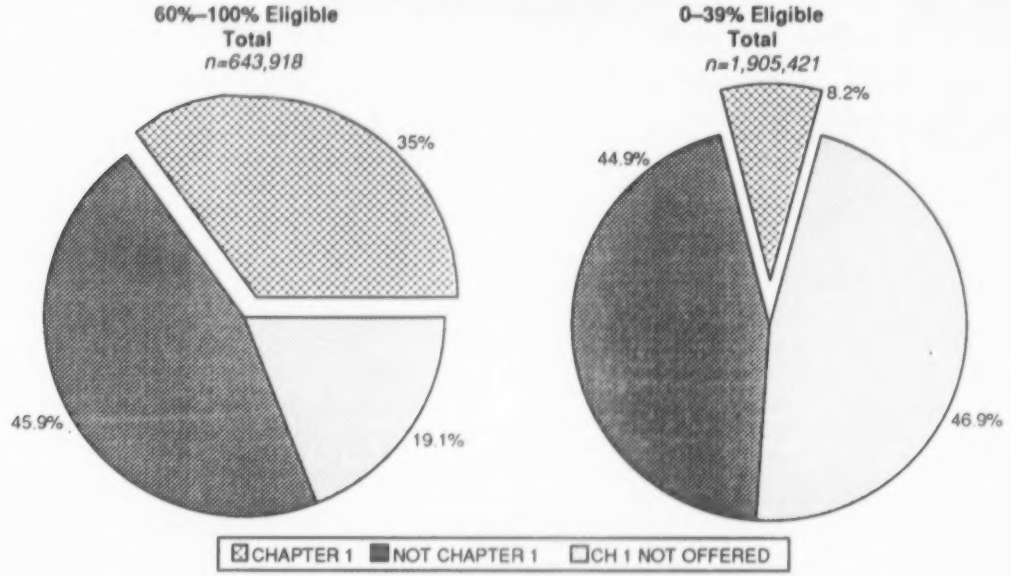


Exhibit reads: Thirty-five percent of third-graders in high-poverty schools (those with 60%–100% of students eligible for free/reduced-priced lunches) participate in Chapter 1, compared with 8.2 percent of children in low-poverty schools.

Note: Data not available for low-poverty schools.

Source: Prospects, Abt Associates, 1992.

Exhibit 7-7
Distribution of CTBS Reading Scores of Chapter 1 Participants in Poor and Nonpoor Schools (Defined by Free/Reduced-Price Lunch Eligibility)

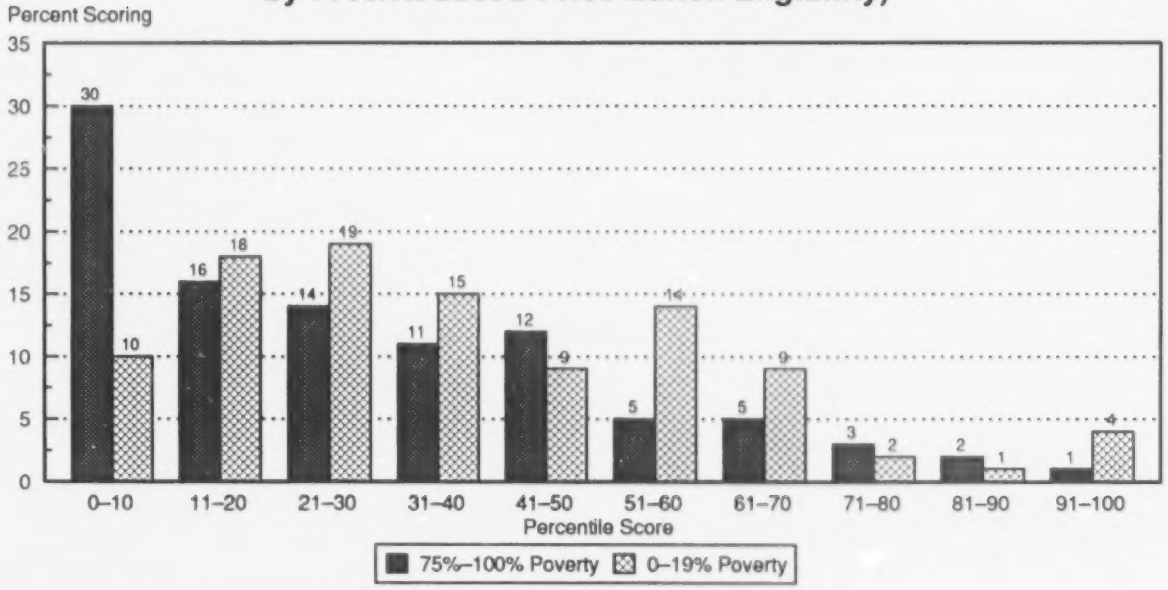


Exhibit reads: Chapter 1 third-graders in high-poverty schools are three times as likely to score in the bottom 10th percentile on the CTBS reading test as students in low-poverty schools.

Source: Prospects, Abt Associates, 1992.

67 percent, while others have 34 percent fewer poor children than in 1980. Changes in state shares of the national total of poor school children show shifts of similar size.

States in the Northeast experienced considerable population loss, illustrated by declines in child poverty counts in major urban states such as New York (15 percent), Massachusetts (20 percent), and Connecticut (23 percent). By contrast, states in the West saw their poverty counts grow, with increases in excess of 35 percent found in Arizona, California, Montana, Nevada, Texas, Utah, and Wyoming. Changes in student poverty reflect changes in the rate of poverty among children as well as overall population shifts. California's 38 percent increase in the number of children in poverty was more than double the growth in its school-age population, and Utah's increase was 50 percent greater. Conversely, Vermont and New Hampshire's decline in numbers of poor children far exceeded their losses in overall student population. The percentage change in state shares also shows a demographic shift to the West and away from the Northeast (see exhibit 7-8).

The impact these demographic changes will have on districts and schools is unknown. The changes reported in this section are at the state level, while the Chapter 1 formula uses county-level data. Data from the 1990 census will enable the National Assessment to analyze interstate and intrastate shifts in Chapter 1 allocations. The Assessment's final report will provide information on what has happened to children in poverty over the past decade and the resulting distribution of Chapter 1 grants that will flow from these changes.

Exhibit 7-8

School-Age Children, 1990 Census Compared to 1980
Percentage Change in State Share of Total Poor

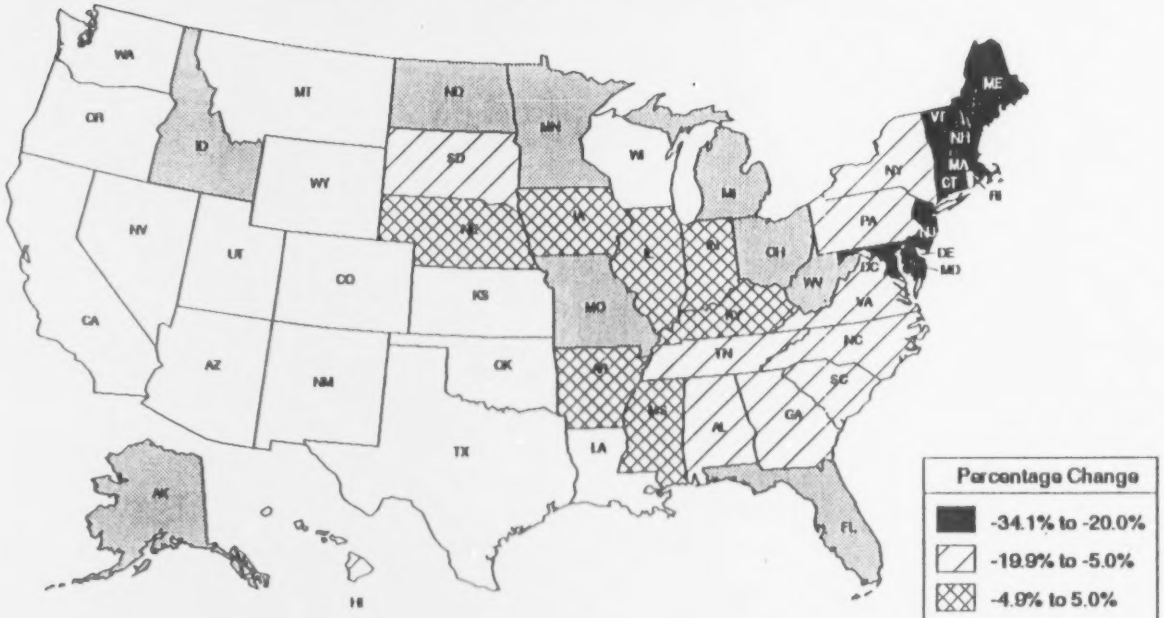


Exhibit Reads: The percentage change in state shares of child poverty shows a demographic shift to the West and away from the Northeast.

Source: 1990 Census.

Issues to Be Addressed in the Final Report

Because virtually all schools contain some children at risk of academic failure, nearly all schools can claim some need for Chapter 1. However, given limited resources, the federal government must balance competing needs and choose between spreading the program broadly across the majority of schools and focusing resources more intensively on the areas of greatest need. Since Chapter 1 supports only about 11 percent of all students, redirecting Chapter 1 to serve a limited number of very needy schools represents an important targeting option.

How many and which students Chapter 1 should serve remains a critical issue for the National Assessment. Chapter 1 resources are being spread among districts and schools. At the same time, recent increases in Chapter 1 funding have not kept pace with the rising salaries of teachers and aides, the basic supplemental service purchased with Chapter 1 grants. To assist the National Assessment, several studies are under way to help address these concerns.

Ongoing research will

- Provide detailed evidence of the consequences of differing resource levels in terms of the amount and nature of school services;
- Determine the impact of demographic shifts in child poverty from 1980 to 1990; and
- Assess the usefulness of alternative measures of child poverty that are available more frequently than once every 10 years.

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Appendix A
Studies That Are Part of the National Assessment

The National Assessment of Chapter 1 comprises a series of evaluation studies undertaken between 1989 and 1992. The following surveys and studies provide the data for this report:

- *Chapter 1 Implementation Study.* Based on an examination of district- and school-level implementation of the new program requirements under the Hawkins-Stafford Amendments, this study assesses whether the program improvement provisions are an appropriate mechanism to support change at the school level. It also reports on changes in program design since 1988, compares staff qualifications of regular and Chapter 1 teachers, and looks at the types of staff development offered to instructional staff.

- *State Survey and Follow-up State Survey.* These surveys assess how states implemented the new Chapter 1 program requirements in 1989–90 and 1991–92. The reports describe how standards were set at the state level, how state staff perceive the necessity and burden of the new requirements, and what procedures have been established to ensure accountability.

- *Chapter 1 Longitudinal Study.* "Prospects: The Congressionally Mandated Study of Educational Growth and Opportunity" will provide student outcome data related to school programs, school poverty, school and classroom climate, and student and parent characteristics. Outcome data will include standardized test scores, school grades, students' progress in school, and teacher assessment of students' progress.

- *Special Strategies.* This study will provide information on the implementation of strategies which have been nominated to be exemplary for educating disadvantaged children. Student outcome data, school grades, student progress in school, classroom and school climate, and coordination with other programs in the school will be described. Programs described include Sizer, Paideia, computer-assisted instruction, Success for All, and extended-day programs.

- *Case Studies of Best Practices for Children and Youth at Risk of School Failure.* This study will describe the implementation of effective strategies for instruction of children who are educationally disadvantaged. A description of what is required to replicate these programs is also provided. Programs include HOTS, Reading Recovery, Success for All, Comer, Accelerated Learning, school-based management, and academies.

- *Even Start Evaluation.* Preliminary findings from 125 Even Start projects regarding the operation, implementation, and effectiveness of the Even Start Program are provided via the first-year report of a three-year evaluation mandated by Congress.

- *Descriptive Study of the Chapter 1 Migrant Education Program.* This study provides a current, nationally representative description of the Migrant Education

Program (MEP) with regard to the targeting of services, types of services provided, information sharing across programs, program expenditures, and program administration.

- *Schools and Staffing Survey (SASS).* SASS provides nationally representative data on public and private schools and teachers. The data set a context for the report, as they provide a broad national picture of the number of students receiving Chapter 1 services, the number of schools offering Chapter 1 services, and the number of students receiving free/reduced-price lunches—in addition to the characteristics of teachers at Chapter 1 schools.

- *Study of Academic Instruction for the Disadvantaged.* This intensive examination of classroom management, curriculum, and alternative instructional practices emphasizing higher-order skills identifies effective practices in elementary schools with high concentrations of disadvantaged students on the basis of observation and student outcome data. Policies and procedures at the school and district levels associated with the presence of effective practices are identified.

- *Schoolwide Project Survey.* This study of all Chapter 1 schoolwide projects operating in 1991–92 provides information on the operations and effectiveness of such projects. It looks at how Chapter 1 schools developed their schoolwide project plans, what factors influenced decisions on program design, and whether the school passed the accountability requirements. It also provides information on changes in district monitoring and technical assistance as a result of the establishment of schoolwide projects.

- *Chapter 1 Services in Secondary Schools.* This descriptive study of the design and implementation of Chapter 1 programs in 20 public middle and high schools includes 10 schools that operate dropout prevention projects.

- *Chapter 1 Services to Limited English Proficient (LEP) Students.* This study conducted in 14 LEAs identifies the procedures districts use to select LEP children for Chapter 1 services and the educational services that Chapter 1 provides to this population. Information is provided on how districts and schools pool funds across programs to serve children.

- *Benefits of Preschool for Disadvantaged Children.* Surveys of schools and school districts, as well as site visits, provide information on family education programs for disadvantaged families, and activities for disadvantaged children making the transition from preschool to kindergarten.

- *Integration of Education and Human Services.* Two reports (one of which focuses on school-based initiatives, the other on efforts not based in schools) analyze what features seem to characterize the most promising service integration initiatives. Keys to success seem to be the commitment of service providers, extensive planning, and a mechanism to ensure that funds do not dry up after a pilot or demonstration phase.

- *Funds Distribution Study.* This congressionally mandated study examines both how federal funds are distributed under existing allocation methods and how the distribution would change under alternative allocation methods.

- *Chapter 1 Resources in the Context of State and Local Resources in Education.* This study examines how Chapter 1 resources are used in relation to other available federal, state, and local resources for education, especially state compensatory education program resources.

- *Chapter 1 Services to Private Sectarian School Students.* Two surveys—one to local school districts and one to principals of private sectarian schools—and case studies examine Chapter 1 services to private, sectarian school students. Specific issues to be examined include targeting and participation, services offered, program funding, administrative activities, and outcomes and achievement of private, sectarian school students receiving Chapter 1 services.

- *Observational Study of Early Education Programs.* This observational study provides information on the structure of early education programs and opportunities for children to improve skills such as verbal expression, social control, and problem solving.

- *Lessons for School Reform.* This descriptive study extends the information obtained in "Best Practices" and focuses on programs with school-based management.

In addition, many smaller concept papers, policy analyses, and literature reviews will be integrated into the information presented in the final report.

Appendix B

Statute Requiring a National Assessment of Chapter 1

Public Law 101-305
101st Congress

An Act

To require the Secretary of Education to conduct a comprehensive national assessment of programs carried out with assistance under chapter 1 of title I of the Elementary and Secondary Education Act of 1965.

May 30, 1990
[H.R. 3910]

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled,

1992 National Assessment of Chapter 1 Act.
20 USC 236 note.

SECTION 1. SHORT TITLE.

This Act may be cited as the "1992 National Assessment of Chapter 1 Act".

SEC. 2. NATIONAL ASSESSMENT OF PROGRAMS ASSISTED UNDER CHAPTER 1.

20 USC 2882 note.

(a) NATIONAL ASSESSMENT.—

(1) GENERAL REQUIREMENT.—The Secretary of Education, through the Deputy Under Secretary for Planning, Budget, and Evaluation and the Assistant Secretary of Educational Research and Improvement (in this section referred to as the "Assistant Secretary"), shall conduct a comprehensive national assessment of the effects of chapter 1 of title I of the Elementary and Secondary Education Act of 1965 (in this section referred to as "chapter 1").

(2) INDEPENDENT REVIEW PANEL.—Such assessment shall be planned, reviewed, and conducted in consultation with an independent panel of researchers, State practitioners, local practitioners, and other appropriate individuals including individuals with a background in conducting congressionally mandated national assessments of chapter 1. The Federal Advisory Committee Act shall not apply to the establishment or operation of such panel.

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(3) COORDINATION WITH AND USE OF EXISTING STUDIES.—Such assessment shall be coordinated with all related research conducted by the Secretary of Education. Nothing in this section shall be construed to limit or alter the authority of the Secretary to review other program aspects of chapter 1 not mandated by this section.

(b) CONTENTS OF ASSESSMENT.—The assessment required by subsection (a) shall include descriptions and evaluations of—

(1) the implementation of the provisions of sections 1019, 1020, 1021, and 1435 of chapter 1, including—

(A) the progress made by State educational agencies and local educational agencies in implementing such sections;

(B) procedures used by State educational agencies and local educational agencies to govern interactions between such agencies relating to the administration and coordination of the provisions of such sections;

(C) program improvements undertaken by local educational agencies and State educational agencies under such sections and the effects of such improvements on program participants with respect to the basic and more advanced skills that all children are expected to master; and

(D) major programmatic accomplishments and problems and procedural accomplishments and problems caused by the implementation of such sections;

(2) the implementation of section 1015 of chapter 1, including—

(A) the number of schoolwide projects assisted under such section;

(B) operational procedures used by the schoolwide projects assisted under such section, including an analysis of similarities and differences in procedures and programs among such projects in different States;

(C) accomplishments and problems resulting from establishing schoolwide projects;

(D) an analysis of the effectiveness of schoolwide projects as compared to other programs assisted under part A of chapter 1; and

(E) a description of uses of funds in programs assisted in the implementation of schoolwide projects;

(3) the overall operation and effectiveness of part A of chapter 1, including—

(A) program participation, particularly—

(i) allocation of funds to school sites and the factors involved in such allocation;

(ii) recipients of services delivered with assistance under such part, including limited English proficient students;

(iii) with respect to each local educational agency that receives assistance under such part (or a representative sample of such agencies for each State), the number of eligible children within the jurisdiction of such agency, the resources necessary to serve all such

eligible children, and the school attendance of participants in programs assisted under such part; and

(iv) the effect of the decennial census compiled by the Bureau of the Census in 1990 on the allocation of funding to local educational agencies, as well as counties;

(B) program services and personnel, particularly—

(i) services delivered with assistance under part A of chapter 1; and

(ii) a comparison of the background and training of teachers and staff who conduct programs assisted under part A of chapter 1 and regular classroom teachers and staff;

(C) program administration, particularly—

(i) coordination with regular classroom activities and with other programs;

(ii) the adequacy of standardized tests; and

(iii) the effectiveness of parent involvement procedures in enhancing parental collaboration with schools and parent involvement in the children's educational development;

(D) program outcomes, particularly—

(i) student achievement, as reflected by student attendance, behavior, grades, and other indicators of achievement; and

(ii) the development of curricula that provides effective instruction in basic and more advanced skills that all children are expected to master; and

(E) a national profile of the manner in which local educational agencies implement activities described in the plans included in their applications submitted to the Secretary under section 1056 of chapter 1;

(4) the implementation of section 1017 of chapter 1;

(5) the operation and effectiveness of Even Start projects carried out under part B of chapter 1; and

(6) the operation and effectiveness of programs for migratory children carried out under subpart 1 of part D of chapter 1.

(c) CONSULTATION WITH CONGRESSIONAL COMMITTEES.—In designing and implementing the assessment required by subsection (a), the Secretary of Education shall consult with the Committee on Labor and Human Resources of the Senate and the Committee on Education and Labor of the House of Representatives.

(d) REPORTS TO CONGRESS.—

(1) GENERAL REQUIREMENTS.—The Secretary of Education shall submit to the Congress—

(A) not later than June 30, 1992, a report containing the preliminary results of the assessment required by subsection (a); and

(B) not later than December 1, 1992, a final report with respect to such assessment.

(2) LIMITATION ON DEPARTMENTAL REVIEW OF REPORTS.—Notwithstanding any other provision of law, the Secretary of Education shall make available to the appropriate committees of

the Congress such studies, reports, and data as are submitted to the Secretary by grantees and contractors pursuant to this Act without any additions, deletions, or other modifications by the Department of Education. The Secretary of Education and the President may submit such additional studies and make such additional recommendations to the Congress with respect to chapter 1 as they may consider appropriate.

(e) RESERVATION OF AMOUNTS.—From funds appropriated for purposes of chapter 1, the Secretary of Education shall reserve for purposes of conducting the assessment required by subsection (a) a total amount of not more than $6,000,000 from funds appropriated for the fiscal years 1990, 1991, 1992, and 1993. Amounts reserved under the preceding sentence may only be expended during the period beginning on December 1, 1989, and ending on January 1, 1993.

SEC. 3. IMPACT AID.

20 USC 238.

(a) AMOUNT OF PAYMENTS.—(1) Subparagraph (A) of section 3(d)(2) of Public Law 81-874 is amended to read as follows:

"(A)(i) Except as provided in clause (ii), for any fiscal year after September 30, 1988, funds reserved to make payments under subparagraph (B) shall not exceed $25,000,000 from the funds appropriated for such fiscal year.

"(ii) In the event that the payments made under subparagraph (B) in any fiscal year are less than $25,000,000, such remaining funds as do not exceed $25,000,000 shall remain available until expended for the purpose of carrying out the provisions of subparagraph (B). Such remaining funds shall not be considered part of the funds reserved to make payments under subparagraph (B), but shall be expended if funds in excess of $25,000,000 are needed to carry out the provisions of subparagraph (B) in any fiscal year.

"(iii) If for any fiscal year the total amount of payments to be made under subparagraph (B) exceeds $25,000,000 and the funds described in clause (ii) are insufficient to make such payments, then the provisions of clause (i) shall not apply.".

20 USC 238 and note.

(2) Subparagraph (B) of section 2(b)(2) of Public Law 101-26 is hereby repealed, and Public Law 81-874 shall be applied and administered as if such subparagraph (B) (and the amendment made by such subparagraph) had not been enacted.

20 USC 238.

(b) ADJUSTMENTS FOR DECREASES IN FEDERAL ACTIVITIES.—Section 3(e) of Public Law 81-874 is amended to read as follows:

Children and youth.
State and local governments.

"(e)(1) Whenever the Secretary of Education determines that—

"(A) for any fiscal year, the number of children determined with respect to any local educational agency under subsections (a) and (b) is less than 90 percent of the number so determined with respect to such agency during the preceding fiscal year;

"(B) there has been a decrease or cessation of Federal activities within the State in which such agency is located; and

"(C) such decrease or cessation has resulted in a substantial decrease in the number of children determined under subsections (a) and (b) with respect to such agency for such fiscal year;

the amount to which such agency is entitled for such fiscal year and for any of the 3 succeeding fiscal years shall not be less than 90 percent of the payment such agency received under subsections (a) and (b) for the preceding fiscal year.

"(2) There is authorized to be appropriated for each fiscal year such amount as may be necessary to carry out the provisions of this section, which remain available until expended. Appropriation authorization.

"(3) Expenditures pursuant to paragraph (2) shall be reported by the Secretary to the Committees on Appropriations and Education and Labor of the House of Representatives and the Committees on Appropriations and Labor and Human Resources of the Senate within 30 days of expenditure. Reports.

"(4) The Secretary shall make available to the Congress in the Department of Education's annual budget submission, the amount of funds necessary to defray the costs associated with the provisions of this subsection during the fiscal year for which the submission is made.".

(c) APPLICATION.—Section 5(a) of Public Law 81-874 (Impact Aid) (hereafter in this section referred to as "the Act") is amended to read as follows: 20 USC 240.

"(a) APPLICATIONS.—(1) Any local educational agency desiring to receive the payments to which it is entitled for any fiscal year under section 2, 3, or 4 shall submit an application therefor to the Secretary and file a copy with the State educational agency. Each such application shall be submitted in such form, and containing such information, as the Secretary may reasonably require to determine whether such agency is entitled to a payment under any of such sections and the amount of any such payment. State and local governments.

"(2) The Secretary shall establish a deadline for the receipt of applications. For each fiscal year beginning with fiscal year 1991, the Secretary shall accept an approvable application received up to 60 days after the deadline, but shall reduce the payment based on such late application by 10 percent of the amount that would otherwise be paid. The Secretary shall not accept or approve any application submitted more than 60 days after the application deadline.

"(3) Notwithstanding any other provision of law or regulation, a State educational agency that had been accepted as an applicant for funds under section 3 for fiscal years 1985, 1986, 1987 and 1988 shall be permitted to continue as an applicant under the same conditions by which it made application during such fiscal years only if such State educational agency distributes all funds received for the students for which application is being made by such State educational agency to the local educational agencies providing educational services to such students.".

(d) ADJUSTMENTS.—Section 5(c)(2) of Public Law 81-874 is amended by inserting at the end thereof the following new subparagraph: 20 USC 240.

"(C) For the purpose of determining the category under subparagraph (A) that is applicable to the local educational agency providing free public education to secondary school students residing on Hanscom Air Force Base, Massachusetts, the Secretary shall count State and local governments. Massachusetts.

children in kindergarten through grade 8 who are residing on such base as if such students are receiving a free public education from such local educational agency.".

State and local governments.
20 USC 240 note.

(e) SPECIAL RULE.—The Secretary of Education shall consider as timely filed, and shall process for payment, an application from a local educational agency that is eligible to receive the payments to which it is entitled in fiscal year 1990 under section 2 or 3 of the Act, if the Secretary receives the application by June 29, 1990, and the application is otherwise approvable.

20 USC 244.

(f) DEFINITION.—Section 403(6) of Public Law 81-874 is amended by inserting the following new sentences at the end thereof: "Such term does not include any agency or school authority that the Secretary determines, on a case-by-case basis—

"(A) was constituted or reconstituted primarily for the purpose of receiving assistance under this Act or increasing the amount of that assistance;

"(B) is not constituted or reconstituted for legitimate educational purposes; or

"(C) was previously part of a school district upon being constituted or reconstituted.

For the purpose of carrying out the provisions of section 3(a), such term includes any agency or school authority that has had an arrangement with a nonadjacent school district for the education of children of persons who reside or work on an installation of the Department of Defense for more than 25 years, but only if the Secretary determines that there is no single school district adjacent to the school district in which the installation is located that is capable of educating all such children.".

SEC. 4. BILINGUAL EDUCATION.

Awards made by the Secretary of Education to the Franklin-Northwest Supervisory Union of Vermont under the Bilingual Education Act (20 U.S.C. 3221 et seq.), in amounts of—

(1) $388,076.56 for the period of fiscal year 1984 through fiscal year 1986 (for programs of bilingual education, however characterized),

(2) $400,061.00 for the period of fiscal year 1984 through fiscal year 1986 (for programs of bilingual education, however characterized), and

(3) any expenditure of funds by the Franklin-Northwest Supervisory Union pursuant to the awards described in paragraphs (1) and (2),

shall be treated as if they were made in accordance with the provisions of the Bilingual Education Act for purposes of any claims for repayment asserted by the Secretary of Education.

SEC. 5. STUDENT LITERACY CORPS.

20 USC 1018e.

Section 146 of the Higher Education Act of 1965 is amended to read as follows:

"SEC. 146. AUTHORIZATION OF APPROPRIATIONS.

"There are authorized to be appropriated to carry out the provisions of this part $10,000,000 for fiscal year 1991.".

SEC. 6. THE HEAD START ACT AND CHAPTER 1 OF TITLE I OF THE ELEMENTARY AND SECONDARY EDUCATION ACT OF 1965.

(a) FINDINGS.—The Senate finds that—

(1) one in every five children in America, some 12,600,000 youngsters under the age of 18, live in poverty;

(2) the Head Start program and programs under chapter 1 of title I of the Elementary and Secondary Education Act of 1965 are proven early education programs that offer the best opportunity to break the cycle of poverty;

(3) since 1980, spending by the Federal Government for education has decreased by 4.7 percent in real terms;

(4) $1 invested in high-quality preschool programs like Head Start and chapter 1 of title I of the Elementary and Secondary Education Act of 1965 saves $6 in lowered costs for special education, grade retention, public assistance, and crime;

(5) children who enroll in Head Start are more likely than other poor children to be literate, employed, and enrolled in postsecondary education;

(6) children who enroll in Head Start programs are less likely than other poor children to be high school dropouts, teen parents, dependent on welfare, or arrested for criminal or delinquent activity;

(7) children who enroll in programs under chapter 1 of title I of the Elementary and Secondary Education Act of 1965 experience larger increases in standardized achievement scores than comparable students who did not enroll in such programs;

(8) low funding levels for the Head Start Act limit the participation in Head Start programs to less than 20 percent of the eligible population; and

(9) low funding levels for chapter 1 of title I of the Elementary and Secondary Education Act of 1965 limit participation in programs assisted under such Act to less than 50 percent of the eligible population.

(b) SENSE OF SENATE.—It is the sense of the Senate that appropriations for the Head Start Act should be increased to fully serve the potential, eligible population under such Act by fiscal year 1994 and that appropriations for chapter 1 of title I of the Elementary and Secondary Education Act of 1965 should be increased to the authorization level of such Act by fiscal year 1994.

SEC. 7. TECHNICAL AMENDMENT.

(a) IN GENERAL.—Section 2 of Public Law 81-874 is amended by inserting at the end thereof the following new subsection (d): 20 USC 237

"(d) The United States shall be deemed to own Federal property, for the purposes of this Act where— Gifts and property

"(1) prior to the transfer of Federal property, the United States owned Federal property meeting the requirements of subparagraphs (A), (B), and (C) of subsection (a)(1); and

"(2) the United States transfers a portion of the property referred to in paragraph (1) to another nontaxable entity, and the United States—

"(A) restricts some or any construction on such property;

"(B) requires that the property be used in perpetuity for the public purposes for which it was conveyed;

"(C) requires the grantee of the property to report to the Federal Government (or its agent) setting forth information on the use of the property;

"(D) prohibits the sale, lease assignment or other disposal of the property unless to another eligible government agency and with the approval of the Federal Government (or its agent); and

"(E) reserves to the Federal Government a right of reversion at any time the Federal Government (or its agent) deems it necessary for the national defense.".

20 USC 237 note

(b) EFFECTIVE DATE.—The amendments made by this section shall take effect on October 1, 1989.

Approved May 30, 1990.

LEGISLATIVE HISTORY—H.R. 3910:

HOUSE REPORTS: No. 101-404 (Comm. on Education and Labor).
CONGRESSIONAL RECORD, Vol. 136 (1990):
Feb. 27, considered and passed House.
May 7, considered and passed Senate, amended.
May 10, House concurred in Senate amendment with an amendment.
May 14, Senate concurred in House amendment.

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Appendix C
National Assessment Study Plan

Section of Legislation

(2) (b) (1)
Implementation of sections 1019 (LEA and SEA evaluations), 1020 (SEA program improvement plan), 1021 (student, school, LEA program improvement), and 1135 (national evaluation standards)

Sec. 1019
LEA and
SEA Evaluations

Progress/Procedures
The Longitudinal Study (Prospects) is collecting annual information on LEA procedures for evaluating Chapter 1. This study began in the 1990–91 school year.

The Summary of State Chapter 1 Participation and Achievement Information (TIERS) provides evaluation data aggregated up to the national level.

Accomplishments/Problems
A review of the TIERS data has identified problems in the states' reporting and has suggested ways for alleviating them.

Sec. 1020
SEA Program
Improvement Plan

Progress/Procedures
The State Survey and Follow-up State Survey of Chapter 1 programs collected information on progress in all states in developing program improvement plans for the 1989–90 and 1991–92 school years. They collected information on the standards set by the state, including aggregate achievement standards and desired outcomes, the extent of local waivers, and the involvement of the committee of practitioners in developing the plan. They also collected information on SEA procedures for identifying schools for program improvement.

The Chapter 1 Implementation Study collected detailed nationally representative information on LEA progress in developing program improvement plans and implementing the joint SEA/LEA plan where applicable. The Implementation Study also collected information in nine states on SEA progress in implementing the joint SEA/LEA plan for school year 1990–91.

Accomplishments/Problems
The State Surveys collected information on the SEAs' perceptions of controversial aspects of the state's program improvement plan.

The Chapter 1 Implementation Study collected information on the role of local educators in state policymaking, and the role of the committee of practitioners in developing the plan and in subsequent policy development.

The Implementation Study also gathered information in nine states on the state Chapter 1 coordinators' assessment of the accuracy of the assessment process in defining districts where Chapter 1 programs are relatively weak. It also identified what state and district coordinators see as the strengths and weaknesses of the state plan.

Sec. 1021
Student, School, LEA
Program Improvement

Progress/Procedures

The State Survey collected information on the extent to which states had spent their program improvement grant money, and the extent to which LEAs were implementing program improvement plans. It also collected data on the procedures developed by SEAs and LEAs to initially identify schools in need of improvement and subsequent procedures regarding the granting of waivers due to local conditions. It also collected data on the extent to which LEAs were setting additional standards for school identification.

The Implementation Study collected national estimates from LEAs for the number of schools identified for program improvement, the current status of schools in implementing program improvement plans, the resources for schools in need of improvement, and the relationship of schools in need of improvement to broader school improvement strategies. It also collected information on what procedures were used to establish LEA desired outcomes, and on whether LEAs set desired outcomes in addition to those set by the state. It looked at procedures used by LEAs to identify schools in need of

improvement and technical assistance used for the identified schools.

The Prospects Longitudinal Study is collecting similar information on procedures to establish LEA desired outcomes, the types of desired outcomes used, and the number of schools identified for program improvement.

The Prospects Study also collects nationally representative information on student outcome indicators such as standardized test scores, retention, grades, and absenteeism.

The school survey portion of the Implementation Study collected information on progress in implementing the new requirements for tracking individual student progress and developing plans to help those students whose achievement has not improved to the level established by the school/LEA.

Accomplishments/Problems

The State Surveys collected information on state-developed procedures relating to program improvement, new rules and policies developed by the state, and perception of problems associated with the new program improvement provisions.

The Implementation Study assessed problems and accomplishments through questions which asked LEA coordinators their perceptions of the effectiveness of the identification process in identifying schools

	for program improvement as well as questions relating to procedures developed by the LEA to identify schools.
Sec. 1435 National Evaluation Standards	*Progress/Procedures* The Implementation Study collected information on measures used to assess advanced skills, the relationship between standardized achievement tests used for Chapter 1 to districtwide testing programs, procedures for conducting sustained effects studies, the percentage of matched pre- and posttest scores for Chapter 1 students, and methods used to assess Chapter 1 student performance in the regular program. It also provided information on the relationship between the tests used for Chapter 1 Assessment and the tests used for regular districtwide testing.
(2) (b) (2) Implementation of section 1015 (schoolwide projects)	*Progress/Procedures* The State Surveys collected information from all of the states on their estimates of the number of schoolwide projects in each state in the 1989–90 and 1991–92 school years. The Implementation Study asked a nationally representative sample of LEAs how many schoolwide projects were in operation in the 1990–91 school year. It also provided national estimates on the grade levels served, activities conducted, and goals of the schoolwide projects.

A study of all schoolwide projects and the districts in which they were located in school year 1991–92 collected data on operational procedures, project activities, and uses of funds. It also provided information on needs assessments, planning, and evaluation in schoolwide projects.

Accomplishments/Problems
The study of schoolwide projects collects data on the accomplishments and problems in schoolwide projects, and their effectiveness compared with other Chapter 1 basic grants programs. It provided data on school staff's views of advantages and disadvantages of schoolwide projects.

The Implementation Study provided data on district policymakers' views on advantages and disadvantages of schoolwide projects, and the relationship between Chapter 1 schoolwide projects and school improvement efforts.

The Prospects Longitudinal Study is collecting data on the effectiveness of schoolwide projects that are a part of the nationally representative school sample.

(2) (b) (3)
Overall operation and effectiveness of Chapter 1

(A) Program participation
(i) Funds allocation
The Targeting and Resource Allocation study is collecting comprehensive data on the

process for allocating funds to schools and students in school year 1991–92.

(ii) Recipients of services
The Implementation Study provides national estimates of the total number of students enrolled in Chapter 1, broken out by public and private schools.

TIERs data provide counts of Chapter 1 participants, in both public and private schools, from state performance and participation reports. Numbers of LEP students and handicapped students are also included.

Prospects also provides national estimates on the number of students enrolled in Chapter 1 and includes figures for LEP students and handicapped students.

(iii) Number of eligibles, resources necessary to serve all eligibles, school attendance data
The state annual evaluation report form developed by the U.S. Department of Education is designed to collect information on the number of students eligible for Chapter 1 beginning in the 1990–91 school year.

The Prospects Longitudinal Study collects nationally representative data on Chapter 1 student attendance and Chapter 1 eligibility over six consecutive school years.

The Targeting and Resource Allocation Study will describe how districts select students and the effects of these procedures.

(iv) Effect of decennial census on allocations to LEAs and counties
Preliminary analyses of the data will be conducted on state- and county-level Census data; LEA data will not be available within the timeline mandated for the National Assessment.

(B) Program services and personnel
(i) Services
The Implementation Study provided information from its nationally representative sample of LEAs on: the number of public schools offering Chapter 1 services, grade levels and subject areas offered, program designs, and changes in the designs since 1985–86.

(ii) Background and training of staff
The State Survey and Follow-up State Survey provided information on the background and training of Chapter 1 state-level administrators.

The Implementation Study provided information on the number and full-time equivalency status of Chapter 1 instructional staff; the uses of aides, instructional assistants, and paraprofessionals; and the number and full-time equivalents of administrative staff. This will be supplemented with information from NCES's Schools and Staffing Survey to examine the

characteristics of basic skills and remedial teachers in general, and not necessarily those supported by Chapter 1.

The Prospects Longitudinal Study also provides information on the background and training of Chapter 1 staff and the services they provide.

(C) Program administration
(i) Coordination
The Implementation Study collected information from its nationally representative sample on district efforts to enhance coordination between Chapter 1 and the regular classroom and other programs. The School Survey portion of the Implementation Study closely examined how Chapter 1 is coordinated with other programs at the school level.

The Prospects Longitudinal Study also collects this information, at both the district and the school levels.

The Study of Academic Instruction for the Disadvantaged collected information on the extent to which classroom teachers coordinate their instruction with supplemental staff, including Chapter 1 staff.

(ii) Adequacy of standardized tests
The Implementation Study collected information from its nationally representative sample on the types of measures used to assess basic and advanced skills in

reading/language arts and math, to assess Chapter 1 student performance in the regular program, sustained effects, and the proportions of students for whom matched test scores are available.

The Prospects Longitudinal Study collects information on current tests being used by the district and will compare outcome data with data from the study's administration of the CTBS-4 and to the grades students receive.

The Department's Advisory Committee on Testing in Chapter 1 is also addressing the issue of the adequacy of standardized testing and will make policy recommendations to the U.S. Department of Education.

(iii) Operation and effectiveness of parental involvement procedures

The Implementation Study collected nationally representative information from LEAs on district goals for parent involvement, parent involvement activities, and measures used by districts to assess the effectiveness of their parent involvement activities. In the site visits, information was collected from SEAs, LEAs, and schools on the general role of parental involvement in the schools, participation by Chapter 1 parents in non-Chapter 1 activities, the role of Chapter 1 parents in schoolwide projects and in schools identified for program improvement, and the perceived effectiveness of parent involvement activities. School-level data on

parental involvement activities were collected through the School Survey.

Prospects also collects information from LEAs on parental involvement activities and the extent to which parents have participated in those activities. The Prospects Longitudinal Study will examine, to a limited extent, the relationship between parental involvement activities and student achievement.

Working with Families extracted implementation principles from 17 established parental involvement programs that work with disadvantaged families to help them become more effective in promoting their children's learning.

(D) Program outcomes
(i) Achievement, attendance, behavior, grades
The Prospects Longitudinal Study is collecting information on these outcome measures for its nationally representative sample of students over a six-year period.

(ii) Effective curricula
The Study of Academic Instruction for the Disadvantaged collected information on effective curricula in basic and advanced skills.

The Prospects Longitudinal Study is collecting information on curricula used in the Chapter 1 program and regular classroom programs. It will assess the relationship of the curricula used to student achievement.

(E) National profile of LEA implementation of activities described in their applications
The Implementation Study will provide nationally representative information on program services and personnel, as described previously.

(2) (b) (4) Implementation of section 1017 (participation of children in private schools)

Two surveys—one to local school districts and one to principals of private, sectarian schools—and case studies are examining Chapter 1 services to private, sectarian school students. Specific issues to be examined include targeting and participation, services offered, program funding, administrative activities, and outcomes and achievement of private, sectarian school students receiving Chapter 1 services.

The Prospects Longitudinal Study is collecting information from a subsample of religiously affiliated schools on services provided, capital expenses, classroom practices, student progress, and school personnel and family concerns regarding school-related practices.

The Implementation Study collected data through its nationally representative sample of districts on the number of private school students receiving Chapter 1 services, the type of services received, and the service delivery modes. It also collected data on the amount of capital expenses funds districts receive, the use of the funds, and their effect on districts' service delivery.

(2) (b) (5) Operation and effectiveness of Even Start	The national Even Start evaluation will provide information on the operation and effectiveness of Even Start.
(2) (b) (6) Operation and effectiveness of migrant programs	The Descriptive Study of Migrant Education Programs will provide information on the operations of the migrant education program, including issues of targeting, services, administration, communications, and costs.

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ED/OPP92-18

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